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Item 2 of the provisional agenda
Adoption of the agenda and other organizational matters

Provisional agenda and organization of work

1. Election of officers.
2. Adoption of the agenda and other organizational matters.
3. The role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda:
   (a) Making public governance work for the post-2015 development agenda;
   (b) Accountability of stakeholders in public governance for development;
   (c) Creating an enabling environment for the post-2015 development agenda.

   Documentation

   The Committee of Experts on Public Administration will submit three background papers for discussion, with a view to: (a) addressing the challenges facing public administrations in relation to the Millennium Development Goals up to and beyond 2015, and examining how the emphasis on governance has evolved over the past few years (E/C.16/2013/2); (b) highlighting the importance of stakeholder accountability as an indicator of the degree to which public governance has been achieved and as an instrument to improve the performance of institutions and the delivery of services (E/C.16/2013/3); and (c) underlining the paramount need for an enabling environment for the post-2015 development agenda, including with regard to human capital development in the public sector, performance reporting and monitoring and evaluation of public service delivery (E/C.16/2013/4). On the basis of the parameters set in those papers, the Committee will discuss and present conclusions and recommendations related to the role of public governance in achieving the Millennium Development Goals and in the preparation of the post-2015 development framework.
4. Review of the United Nations Programme in Public Administration.

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Documentation

The Secretariat will submit a report on the activities implemented in 2012 and those proposed for implementation in the biennium 2013-2014 under the United Nations Programme in Public Administration (E/C.16/2013/5). The Committee will review the activities carried out in 2012 and those to be implemented under the Programme in 2013 with a view to making recommendations to the Secretariat to assist Member States in addressing concerns of global importance and in becoming aware of emerging issues related to public administration and its role in promoting innovative solutions with regard to public service delivery.

5. Agenda for the thirteenth session of the Committee of Experts.

Documentation

The Committee will review its programme of work and make recommendations to the Economic and Social Council on the agenda for its thirteenth session.

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Committee of Experts on Public Administration
Twelfth session
New York, 15-19 April 2013
Item 3 (a) of the provisional agenda*
The role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda

Making public governance work for the post-2015 development agenda

Note by the Secretariat

The present paper is hereby transmitted in accordance with the proposed programme of work and agenda for the twelfth session of the Committee of Experts on Public Administration (see E/C.16/2013/1). Preparation of the paper was coordinated by Margaret Saner, who, together with Hyam Nashash and Rowena G. Bethel, also authored section II, "Road map for localizing the Millennium Development Goals: lessons and models from successes and failures in the United Kingdom of Great Britain and Northern Ireland and other advanced nations". Ms. Nashash authored section III, "Road map for localizing the Millennium Development Goals: lessons and models in selected developing countries", and Ms. Bethel authored section IV, "Transformational government through e-government". The content of and the views expressed in the paper are those of the authors and do not imply any expression of opinion on the part of the United Nations.

* E/C.16/2013/1.

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Making public governance work for the post-2015 development agenda

I. Introduction

1. The present paper looks ahead at the challenges for public administrations in relation to the Millennium Development Goals and other development goals beyond 2015 and examines, from three different perspectives, how the emphasis on governance over the past few years has been interpreted at the local level. In considering the role of governance in achieving local public service goals, it highlights successes and areas that need to be improved if future challenges are to be met and recognizes that while there may be some emerging overarching themes, it is essential that ways forward be tailored to local circumstances.

II. Road map for localizing the Millennium Development Goals: lessons and models in the United Kingdom of Great Britain and Northern Ireland and other advanced nations

2. Many people in advanced economies think that the Millennium Development Goals apply to others rather than to themselves and, further, that the concept of governance has been a vehicle for managing donor funding in this context. If pressed, however, developed countries might acknowledge that even in advanced economies there are pockets of poverty, poor health, disadvantage and difficulties in relationships between peoples of different beliefs and ethnicities. In the present section, which addresses how developed countries, in particular the United Kingdom of Great Britain and Northern Ireland, have approached the achievement of the Millennium Development Goals, a broader look is taken at approaches to implementing government policy rather than specifically at implementing the Goals. The intention is to identify some of the challenges to implementing and reporting on government policies and to signalling areas for improvement. For example, a presentation prepared by Jonathan Battye of the Prime Minister's Delivery Unit of the United Kingdom shows that the efforts to improve delivery discussed below have increased understanding in relation to pockets of disadvantage in an otherwise positive national picture.[1]

Governance as an enabler rather than a result

3. An analysis of levels of trust in countries shows that there is a high correlation between higher levels of governance and trust, and that this is generally a feature of the more established economies.[2] Whether there is a causal link between governance and economic productivity is currently under discussion.[3] It might be that countries can afford to institute stronger governance processes once they become successful

[1] Available from www.oecd.org/gov/budgeting/44291124.pdf.

[2] See https://www.sussex.ac.uk/webteam/gateway/file.php?name=toke-aidt---presentation.pdf&site=21.

[3] Mushtaq Husain Khan, "Beyond good governance: an agenda for developmental governance" in *Is Good Governance Good for Development?*, Anis Chowdhury and Jomo Kwame Sundaram (eds.), United Nations Series on Development (London, Bloomsbury Academic, 2012).

rather than the other way around. But, since the financial haemorrhaging from countries that ought to be wealthy and trusted can be linked to the existence of corruption, it also seems likely that without improvements in governance the situation will not change. Funds that are vital for the achievement of the Millennium Development Goals, if diverted for personal reasons, clearly are not available to address pressing social and economic problems.

4. This is not to say that established economies are immune to losing funds through corruption, only that the incidence and scale of corruption appears to be lower in such countries. There are examples of other abuses of power but, thankfully, these are usually eventually exposed owing to factors such as freedom of information legislation, whistle-blowing and press freedom — all elements of an effective governance framework. Yet, problems remain with the implementation of government policies, especially among hard-to-reach individuals and communities, for example for the reduction of child poverty in the United Kingdom.

5. It is clear, therefore, that the reforms that have been carried out by advanced economies have been made possible by a context of governance arrangements and frameworks that are effective albeit subject to ongoing improvement. Effective governance supports the values of democracy, of enabling informed voters to make choices and decisions freely on the basis of information and without fear of reprisal. It is therefore necessary to continue to press for effective governance frameworks and, at the same time, to be aware that a simplistic approach to addressing governance shortcomings can be misleading. Superficial improvements that provide merely a semblance of good governance will not create the conditions conducive to the achievement of the Millennium Development Goals.

Overview of efforts to improve implementation

6. In the 1990s, concern in the United Kingdom about the effectiveness with which public funds were being used and government policy was being implemented led to the rise of what has been termed "new public management". Recommendations on improving efficiency in government introduced both structural change in the machinery of government and fundamental change among public servants, from an attitude of paternalism to one of service delivery. Since then, several paths to the implementation of government policy have emerged. These paths have sometimes crossed one another, sometimes run in parallel and sometimes flown freely together.

7. One path has been subjected to the increasingly rigorous scrutiny of public spending: zero-based budgeting followed by priority-based budgeting, increased standards of accountability and public scrutiny. The trend has been to keep downward pressure on spending and to give managers responsibility for budgets allocated to them and then to hold them to account for their choices in terms of how they use public funds. That was before the current austerity measures, which have further reduced the funding available and led to taxpayers asking about the level of overseas aid. If funding levels are maintained, there is the risk that even more conditions will be attached to aid, further constraining the strategies of recipient countries.

8. In parallel, another trend has been to move away from having a large public sector to directly providing services to a commissioning public sector[4] that may deliver services through the private sector, civil society organizations and social enterprises. This has created scope for a form of citizen engagement that is often overlooked in the emphasis on delivery of services to citizens: the engagement of citizens in making policy decisions, in particular at the local level. The publication of national and local government data has become the norm and the consultation of citizens is a legal requirement in the European Union.

9. Essential to these initiatives has been the measurement of success. As the emphasis on service delivery to the satisfaction of citizens gained ground, so did the need to set benchmarks of achievement. In addition to giving citizens an indication of how well a service was being provided, information on the achievement or non-achievement of targets was seen as a management tool for controlling and assessing government efficiency. In time, this approach would lead to some perverse outcomes, as the achievement of short-term targets became more important than that of longer-term goals. Beneficial outcomes for citizens were sacrificed in order to achieve internal management targets.

10. Subsequently, although targets were not completely dispensed with, the emphasis changed to one of delivery for the benefit of the citizen. Business methodologies such as project and programme management were adapted for use in the public service and, in the United Kingdom, the Prime Minister's Delivery Unit was established in 2001 to concentrate on four key areas of government policy. The remit of the Delivery Unit was subsequently expanded to include performance management and 30 public service agreements with a view to bringing together financial performance and policy implementation. While government departments continued to be responsible for delivery, the Delivery Unit provided support and scrutiny. It was expected that delivery plans would be comprehensive, realistic and, where necessary, interrelated. Other established economies were also looking at ways to ensure that government policies were implemented and introducing their own performance management systems; some countries established delivery units at the centre of government.[5]

11. The performance management approach evolved from various earlier attempts to reduce or make more effective public spending and to implement policy without perverse results. At the same time, the world was demonstrably more interconnected and the problems requiring policy resolutions ever more complex. Whether at the local level (where linking up health, educational and social services for the benefit of a troubled child was a concern) or at the national level (where building a positive relationship between young people leaving education was a concern, as were business success and national productivity), the challenge of managing government performance in this way exposed the need for much more creative and collaborative approaches to policy development. The fact that citizens increasingly share information and have raised expectations in terms of participation means that central

[4] John Alford and Janine O'Flynn, "Finding a better way to deliver" (September 2012). Available from www.publicservice.co.uk/feature_story.asp?id=20635.

[5] World Bank, "GET note: Center of government delivery units", *Recently Asked Questions Series* (November 2010). Available from http://siteresources.worldbank.org/EXTGOVANTICORR/Resources/3035863-1285601351606/NovemberGetNote.pdf.

government policy has to be interpreted and delivered in a way that is meaningful and beneficial to people locally.

Lessons learned

12. New demands are being made on public servants and, in particular, on leaders, who are often reliant on someone else's staff to achieve the delivery plan for which they are accountable. Leaders are now in a position of managing across boundaries and without hierarchical authority. They must focus relentlessly on implementation while effectively drawing upon a wide range of expert resources, consult stakeholders and manage expectations while being collaborative across government departments. Throughout, their feet are held to the fire in terms of achieving results for citizens. This is a very different role to that of administrator and one that requires different competencies, attitudes and career expectations.

13. It could be useful to have an understanding of the strengths and the failures, and perhaps of when there has been an inability to respond to a new environment, and to draw on such knowledge in considering the future, especially as many developing countries look to learn from the experiences of advanced economies. The thinking of the more established democracies and of international organizations like the United Nations and the World Bank also shapes expectations on donor funding and support or for reform programmes. Unfortunately, in some cases, approaches have been advocated and implemented in the absence of the necessary assessment of local conditions.

14. For established economies, much has been learned in recent years about improving public sector performance that would be wasteful to lose. The current recession and the challenges facing the eurozone, for example, illustrate how interconnected economies are. As the population grows, the climate becomes more uncertain and issues such as hunger and poverty remain, making the world more complex. Such issues require innovative thinking[6] and approaches, collaboration and risk assessment, greater expectations of flexibility on the part of government and the recognition of individual differences.[7]

Looking ahead

15. As government expenditure is reduced, the freedom to identify priorities that went with delegation to the service delivery areas has to be reconsidered. The United Kingdom is in the process of reforming its civil service,[8] as is New Zealand.[9] Some of the aims of these two Governments appear to be similar (for

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[6] Jocelyne Bourgon, *A New Synthesis of Public Administration: Serving in the 21st Century* (Kingston, Canada, Queen's University School of Public Policy, 2011).

[7] Claudio Morales Oyarce and Faith Boardman (eds.), *Public Service Reform in the UK: Revolutionary or Evolutionary* (Public Management and Policy Association, London, 2012). Available from http://www.bis.gov.uk/assets/brdo/docs/resources/public-service-reform.pdf.

[8] See the civil service reform plan (available at www.civilservice.gov.uk/reform) and the accompanying document containing data and case studies (available from http://resources.civilservice.gov.uk/wp-content/uploads/2012/03/The-Context-for-Civil-Service-Reform-v2.pdf).

[9] See www.beehive.govt.nz/release/legislative-milestone-public-service-reform.

example, both plan to make much greater use of information and communications technology (ICT) and to encourage the sharing of central resources), but the language they use, at least in public documents, has a different feel. It is too early to say what impact the austerity measures will have in the United Kingdom, but the language of delivery is no longer widely used. This may simply be the result of a change in the political landscape; if that is the case, it highlights the need for the post-2015 agenda to be enduring, to be built on principles that different political views can genuinely engage with.

16. The above-mentioned change also highlights that effective implementation requires expertise and a long-term approach and sustained support, not the frequently short-term perspective of the political environment. One concern about the current climate of blame and staff reduction in the public sectors of some countries is the ease with which capacity can be lost so that a country's future depends to a much greater extent on the capacity of other sectors to operate for the benefit of the citizen. Effective governance certainly comprises legal frameworks and enforceable guidelines, but it also requires personal commitment and a willingness to solve problems for the benefit of others at the local, national and international levels.

III. Road map for localizing the Millennium Development Goals: lessons and models in selected developing countries

Evolution and challenges

17. In 2001, in his report on a road map towards the implementation of the United Nations Millennium Declaration (A/56/326), the Secretary-General noted that success requires solidarity. The Millennium Development Goals were drafted ahead of the International Conference for Financing for Development, held in Monterrey, Mexico, in 2002, two years after the United Nations Millennium Declaration was adopted by the General Assembly (resolution 55/2). During the past 12 years, Member States, with the assistance of various international organizations, have been working together towards implementing the Goals. They have made progress in achieving some of the Goals, but are falling behind on others, mainly due to the many challenges that have since emerged.

18. When the Millennium Development Goals were being implemented, much of the discussion was dominated by development aid officials in industrialized countries. Gradually, the Goals became synonymous with a Western and donor-driven approach to development.[10] Some viewed the Goals as being dictated and written by donors. As a consequence, there was very little ownership of the Goals among development actors, resulting in very few countries attempting to localize them and in most of the national reports on the Goals being drafted by officers at United Nations Development Programme (UNDP) country offices.

19. Although the Millennium Development Goals are laudable and undoubtedly well intentioned, this does not mean that they are realistic for all countries. In some

[10] Rolph von der Hoeven, "MDGs post 2015: Beacons in turbulent times or false lights?", United Nations System Task Team on the Post-2015 United Nations Development Agenda (June 2012). Available from http://www.un.org/millenniumgoals/pdf/rolph_van_der_hoeven.pdf.

instances, in fact, the Goals have been overly ambitious, placing unrealistic expectations on aid and promising too much, leading to disillusionment. Financial resources are not the sole and perhaps not the most important means of achieving progress, certainly not where deep structural problems exist in the local system; the focus on financial resources too has resulted in a poor record with regard to rapid progress. In short, excessive focus on aid is risky; although aid can and will play a role in the improvement of the lives of the poor, it is not sufficient to achieve the Goals.[11]

Calling for a new approach to the post-2015 framework

Governance as a building block

20. Prior to setting a post-2015 agenda, the perception that the Millennium Development Goals were imposed needs to be addressed. Global emerging trends have led to the exposure of the three crises of fuel, food and global recession, along with many other crucial problems, including rising unemployment, increased inequality, climate change and the issue of human rights. All are of the utmost importance, yet were not addressed in the Goals.

21. Other important issues, such as environmental sustainability (addressed in part in Goal 7) and global governance (addressed in Goal 8), were raised at a later stage and were linked to far fewer targets and indicators, despite the fact that governance has proved to be a core building block in achieving the Millennium Development Goals. This shortcoming became clear, for example, during the Arab Spring: while Tunisia ranked first in achieving the Goals in the Middle East and North Africa region,[10] it was the first country to topple its regime, which was characterized by a lack of democracy, equity and justice, all of which are considered to be at the core of governance. This shows that there is no direct correlation between achieving the Goals and good governance.

22. In order to avoid such pitfalls, a post-2015 agenda needs to be based on a global social contract that is relevant to people in the South and the North, rather than one that is dominated by development aid professionals. In addition to avoiding a donor-driven process,[10] it is necessary to focus on risk management and risk-taking actions. A starting point is to link the localization of the Goals with the localization of governance through institutionalization by capacity-building at all levels until the core level, which is the local level, is reached.

Road map for localizing the Millennium Development Goals: a proposed model

23. Getting the best out of the implementation of the Millennium Development Goals requires a combination of the following actions: (a) localizing the Goals; and (b) localizing governance, which depends on the existence of political will, an enabling environment, the prioritization of goals and the allocation of budgetary resources.

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[11] Michael Clemens and Todd Moss, "What's wrong with the Millennium Development Goals?", *CGD Brief* (Centre for Global Development, 2005). Available from http://www.cgdev.org/files/3940_file_WWMGD.pdf.

Why the Millennium Development Goals need to be localized

24. It is necessary to localize the Millennium Development Goals because of the existence of inequality among and within countries. Even where there is progress and achievement of the Goals seems to be on track at the national level, there may be hidden discrepancies, for example in terms of reaching certain localities and challenges related to poverty. Countries with disaggregated data for reporting on the Goals have a clearer picture of where pockets of poverty or marginalized groups are situated, and such information provides a fuller picture of disparities, resulting in more targeted interventions.

25. Analysing the achievement of the Millennium Development Goals at the subnational level may also result in creating opportunities to discuss clearer responsibilities for local governments and development partners. Subnational comparative data, including data by state, province or district, have proven to be a powerful tool for public action.[12] Clustering country data by region for reporting purposes further reduces accuracy due to internal disparities. In addition, reliance on recent available data, which itself may be vague, does not necessarily present an accurate picture of the situation.

26. Localizing the Millennium Development Goals and linking sustainable development with the attainment of the Goals implies more than gathering data. The first step in localizing the Goals is to make sense of differences in the implementation of targets at the national and local levels.[13] Goal targets must be integrated into locally defined strategies and action plans by demonstrating how established priorities are linked to the national Goal targets rather than by developing specific attainment plans and transposing them onto local communities.[14] Strategies for achieving the Goals are much more likely to succeed when national governments work closely with local governments, civil society and the private sector.

Strategies for localizing the Millennium Development Goals

27. Strategies are needed to solve local issues. The localization process can be carried out in the following two ways: (a) data collection and monitoring at the national, regional and local levels; and (b) analysis of data and identification of developmental priorities linked to the Goals at local, regional and national levels of governance.[14]

28. A post-2015 agenda should emphasize rights and gender equity if it is to foster real change in the world. The Millennium Development Goals need to deal with global goals and local challenges. Their achievement requires:

(a) Local government leadership and contribution to the process of achieving a strategy for the Goals;

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[12] See http://mdgpolicynet.undg.org/ext/MDG_Reports/Addendum_to_2nd_Guidance_Note_on_Country_Reporting_on_the_MDGs_November_2009.pdf.

[13] World Bank and International Monetary Fund, *Global Monitoring Report 2012: Food Prices, Nutrition and the Millennium Development Goals* (Washington, D.C., World Bank, 2012). Available from http://uncsd.iisd.org/news/world-bank-imf-report-on-mdgs-progress. This report contains examples of differences between the national and local levels.

[14] United Nations Development Programme, *Global Goals, Local Challenges: Communities in pursuit of the Millennium Development Goals*.

(b) Local ownership of the strategy (which should not be the product of consultants only);

(c) Training to help local government employees to understand the strategy;

(d) Personal commitment to strategy implementation and concrete action plans;

(e) Broad political goals to be included in the strategy;

(f) Realistic action plans to be developed;

(g) A parallel effort on the legislative and regulatory framework to be developed together with the strategy;

(h) Further action to be taken to realize the strategy once it has been developed.[14]

29. It is not realistic for the Goals to be localized if political will is lacking, for where there is no political will there is also no governance and citizens are not participating in policymaking. States should focus on fulfilling their commitments and on implementing strategies that have proven to be successful. Thus, it is crucial that the Goals become national goals and serve to increase the coherence and consistency of national policies and programmes. In the past, this did not work because the Goals were not accompanied by a clear set of policies.

Barriers to the localization of the Millennium Development Goals

30. The following list of barriers that are hindering the localization of the Millennium Development Goals emerged from a workshop entitled "Achieving the MDGs through enhancing local capacities for integrated coastal resources management: evidences and lessons learned", which was held in Haikou City, China, on 12 December 2006:[15]

(a) A lack of appropriate capacity in local authorities;

(b) Inadequate decentralized statistics and lack of consistency in data collections and established baselines;

(c) Fragmentation of efforts;

(d) Political differences between national governments and local authorities;

(e) Lack of aims to achieve a society that is secure from both a human and an ecological point of view, where human needs are met without compromising the integrity of the environment;

(f) Goals that are highly or entirely anthropocentric, in other words mainly concerned with human well-being.

31. Consultations should include citizen engagement at the local level and address the needs and thoughts of citizens using simple language. In other words, the approach is to engage citizens so that they are encouraged to highlight the concerns that affect them directly. Each barrier should be dealt with independently. In almost all countries, including the least developed countries, low-income countries and even some middle-income countries, individuals and groups have been excluded from the benefits of development because of their geographic location and ethnicity.

[15] See http://beta.pemsea.org/sites/default/files/easc-wp-2007-05.pdf.

The platform: phases of localization

Phase one: assessing the status of achievement of the Millennium Development Goals at the local level

32. It is necessary to consider new ways of recognizing real success at the country level rather than at global targets by assessing where countries are with regard to the Millennium Development Goals and reasonable expectations of performance.[11]

33. It is also necessary to clarify that the results emerging at the national level are not accurate, in that they do not give the whole picture, which is why an analysis should be conducted at the local level. This need was clearly exemplified in the case of Goal 1, on eradicating extreme poverty and hunger: the decline of the world's poor by 445 million people, from 1,820 million people in 1990 to 1,375 million in 2005, was entirely due to a decline in the number of poor people in China.[10] The positive global assessment was the result of successes in a large and fast-growing country.

34. Also with regard to extreme poverty, what is being sought is a decent living, not just the end of absolute poverty (the kind of poverty that threatens survival and makes progress impossible for the 1.3 billion people living on less than $1.25 a day), which is the focus of Goal 1. Achievement of that Goal will not address the lack of participation of poor communities, which is due to their inability to make a decent living and thus to meet the basic demands of life.

Phase two: paving the road and creating an enabling environment

35. A major issue regarding the development of cross-sectoral collaboration is how the public sector can exert control over the product or the service to be provided. How would public organizations ensure accountability in partnerships? To answer that question, the concept of accountability needs to be reassessed and applied to inter-organizational collaboration.

36. Collaboration should be added as another stage, while monitoring and evaluation would be final stages in a model that reflects a holistic self-assessment approach to citizen engagement. Effective monitoring requires a more sustainable investment in data collection, as good-quality data is considered to provide the right basis for analysis, to lead to the right, intended outcomes and to work accordingly on prevention, not treatment.

37. According to the findings of the *United Nations e-Government Survey 2012*, many countries have put in place e-government initiatives to further enhance public sector efficiencies and streamline governance systems to support sustainable development. In addition, more countries are seeking to have an open government data initiative. The guidance toolkit on open government data for citizen engagement in managing development developed by the Department of Economic and Social Affairs could be used as a resource.

38. For the Millennium Development Goals to be localized, the decentralization of governance needs to be assessed, to see where localized Goals respond to shifts towards the decentralization and devolution of central government responsibilities. Awareness, training and empowerment should also be reviewed, as the Goals reflect national aggregate figures that need to reflect local realities. Localizing the Goals

will highlight the local dimension in development efforts and targets will reflect the local context and reality, while also empowering the people.[16]

39. Before selecting capacity-development measures, their purpose should be identified. In other words, should a measure's purpose be planning, participation, implementation, monitoring, evaluation or management? And at what level should the measure be targeted? At the individual (attitudes and behaviours), institutional (organizational performance) or systemic (ensuring there is a political, economic and social environment conducive to development) level? What level of governance should it include? The community, local, regional, national or international level?[14] The following key principles apply to capacity-building campaigns focused on the Goals:

(a) Building the skills and knowledge of all stakeholders (at the national, regional, local, and community levels, and in the public, non-governmental and private sectors);

(b) Using tailored programmes and methods to reach target audiences;

(c) Using flexibility to reach out to more vulnerable groups;

(d) Using locally available knowledge and skills (local experts and previous beneficiaries).[14]

Phase three: walking down the road and making the shift

40. The Millennium Development Goals do not contain explicit reference to global governance even though most crises are the consequence of failed global governance. The most important aspect of an improved global governance system is enhanced policy coherence in economic, social and environmental policies at the national and international, as well as local, levels, as the national level does not always represent the local level.

41. While the institutionalization of governance is considered to be the basis for localizing the Millennium Development Goals and building the capacity of citizens to engage in public policymaking is considered the tool, engaging partners and building national partnerships will help achieve a better world for all.

42. In addition, the Millennium Development Goals can only be addressed in the national context by localizing them and making them concise. This means setting out priorities so that each Goal can be turned into an action plan. Since adequate capacities, including with regard to planning, negotiating with donors and monitoring and evaluating assistance, are necessary, beneficiaries will need to develop the relevant knowledge and skills. At the local level, such knowledge and skills must be developed to meet local governance and sustainable development needs.[14]

Phase four: staying the course and dealing with uncertainty

43. Networking to achieve common ground (social contract): the contours of a new social contract are emerging, as citizens are seeking a relationship with their government based on transparency, accountability and participation. A post-2015 framework has to deal with human aspects, including those related to economic,

[16] United Nations Human Settlements Programme, *Localizing the Millennium Development Goals: A Guide for Local Authorities and Partners* (May 2006), p. 14.

social, cultural and labour rights, as well as with issues of inequality and redistribution.[10]

44. Innovation results in the creation of best practices and the integration of the Millennium Development Goals into national development plans. In an updated strategy and implementation plan of the World Bank Group on strengthening governance, it is noted that the speeches of the former President of the World Bank, Robert Zoellick, mark the continuation of the development community's journey from "best practice" towards "good fit" in strengthening institutions.[17] More global political legitimacy initiatives are needed to foster the enhanced policy coherence for the post-2015 framework, as well as a forum that includes all Member States.[10] Attention should be paid to inequality and human rights as an integral part of the post-2015 agenda, to build a global social contract. If developing countries are fully engaged in the preparatory process for the post-2015 agenda and if inequality and human rights become an integral part of that process, the agenda will become a global social contract with a "social floor" (in other words, a minimum set of safeguards), which in turn will show that such a framework can arrest inequality and poverty in several circumstances.[10]

45. In "MDGs post 2015: beacons in turbulent times of false lights?", Rolph von der Hoeven noted:

> There is a broad understanding of the major development trends that contributed to achieving the MDGs and which needed to be made more explicit in a coherent post-2015 development agenda. Nayyar lists the following: necessity of economic growth; institutional mechanisms to translate growth into meaningful development by improving conditions of people; the importance of public action; and employment as the only sustainable means of poverty reduction. This requires coherence between various aspects of economic policies (macroeconomic, trade and investment policy), social policy and environmental policies.[10]

Looking back: lessons learned

46. It is extremely difficult to reach a consensus among countries on universal goals. Thus, the United Nations needs to play a difficult mediation role, affirming that the goals should be universally applicable, rights-based, aspirational, global, holistic, action-oriented and easy to communicate. Support should be provided to democratic societies where social and economic justice cannot be achieved and where governance does not exist or is confined to a select handful of members of the political and economic elite.

47. Development is crucially dependent on more effective governance. Best practices are not always the most suitable approaches: problem-based approaches have more traction. Yet, we have to rely on both approaches. Strengthening country institutions remains central to the governance agenda, but several systems are essential and there are direct ways to put them in place.

[17] See http://siteresources.worldbank.org/PUBLICSECTORANDGOVERNANCE/Resources/285741-1326816182754/GACStrategyImplementationPlan.pdf.

48. Education for all is not only essential for meeting development goals but is also the key to promoting the peace and security upon which sustainable development depends (see A/64/665). Education must be given a much higher priority on the international agenda and integrated policies that reinforce the positive impact of education on health, poverty, gender equity and other socioeconomic outcomes must be promoted. Quality is key. Therefore, it is important to raise standards and criteria in education. The need to set new goals provides a basis for utilizing the strengths of the Millennium Development Goals while addressing some of their limitations and reflecting on the sociopolitical, economic and environmental contexts.

IV. Transformational government through e-government

49. Research has shown that early e-government initiatives did not meet the expectations of providing the increased public benefit originally envisioned because of their heavy emphasis on the automation of existing government processes, the provision of government information online and the delivery of e-services. In short, the business case for e-government was not being made merely through the introduction of technology and/or the delivery of full or random online services, fundamentally because those exercises were not focused on citizens.

50. Despite enormous strides in the global uptake of e-government initiatives in recent years, the absence of a concerted strategy to effectively satisfy the real needs of citizens remains the reality for many e-government initiatives, particularly in developing countries (see the *United Nations e-Government Survey 2012*). The vacuum created by the lack of an effective, people-centred, responsive governance framework, therefore, significantly inhibits the ability of affected countries to deploy the mechanisms and systems best able to effectively meet the Millennium Development Goals, sustainable growth and development, and social inclusion. Evidence of this is found in the rate at which the advanced economies are outpacing developing countries in the area of inclusive, citizen-centred governance that employs ICTs to meet governance objectives. Theirs is a sort of "fit for purpose" governance model.

51. The original e-government model, the ultimate aim of which was to make government information, products and services available online, has been transformed over the past several years into an all-encompassing, comprehensive programme aimed at organizing government services strategically and more effectively around the needs of users. In so doing, greater use is made of ICTs to transform government processes and delivery modes in a more joined-up, connected way and to better address such user needs. This approach has become popularly known as "transformational government" or "t-government". Information policy experts of the Organization for the Advancement of Structured Information Standards, a non-profit consortium that drives the development, convergence and adoption of open standards for the global information society, describe this new approach as one that encompasses a new "virtual" business layer within government that allows for an integrated, government-wide, citizen-focused service to be presented to citizens across all channels, at no extra cost (see https://www.oasis-open.org).

52. For many developed countries, the realization that e-government was falling wide of the mark occurred relatively early on in the global e-government revolution.

This precipitated, for these countries, a review of e-government strategies so as to redirect emphasis towards a whole-of-government, joined-up and connected approach that takes due account of the cultural, organizational and political re-engineering of government and governance processes. This approach utilizes ICTs to deliver targeted, coordinated and responsive services and products that genuinely extend benefits to the users of those services and products and that is socially inclusive.

53. The original e-government model sought to mimic the value proposition of industry and private business, but failed to account for the very critical fact that the obligations of the Government do not exactly match those of private enterprises. Unlike private enterprises, Governments cannot choose their customers. Similarly, private-sector businesses do not have the universal service-type commitment to citizens that Governments do.

54. Moreover, despite aiming to increase efficiencies, the original e-government model actually compounds levels of duplication and inefficiencies within the public administration owing to a lack of coordination between many of the information technology projects that typified this early model.

55. Information policy experts have identified the following 10 pitfalls of the early e-government model:

(a) Lack of a common understanding of and appreciation for the e-government vision across all parts of government;

(b) Lack of top-level ownership and effective cross-government decision-making;

(c) Failure to drive the implementation of the changes necessary to deliver the e-government programme;

(d) Prohibition of inter-agency collaboration, data and information exchanges and other joint activities;

(e) Failure of traditional "silo-based" budgetary mechanisms to support the delivery of the e-government programme;

(f) Failure to achieve optimum contracts and best value for money for the delivery of e-government services;

(g) Implementation problems caused by attempts to deliver too many services too quickly;

(h) Lack of takeup by users of the e-government online services;

(i) Lack of effective interoperability of processes and/or systems across Government;

(j) Lack of skills at all levels to implement the e-government programme.

56. These are the main pitfalls that have served as a catalyst for transitioning to a t-government approach and that continue to be features of many e-government initiatives, particularly in developing countries. The persistence of such pitfalls, coupled with inadequately inclusive and sustained citizen engagement, will exacerbate the global digital divide, hampering development efforts.

57. Countries seeking to overcome the pitfalls of the early e-government model have shifted to formulating an approach to government, governance and public administration that recognizes the following:

(a) The imperative to design government responses, infrastructure, policies etc., around the needs of users;

(b) The dynamic nature of modern governance and, therefore, the need to appropriately incorporate methodologies to address the constant evolution of the related frameworks in order to maintain their relevance and currency (experts have discouraged the perception that t-government is some sort of perfect end state for governments, stressing that all governments are different in terms of their respective historical, cultural, political, economic, social and demographic contexts, as are the legacies of business processes and technology implementation from which each starts; consequently, the t-government framework is not a "one-size-fits-all" prescription for what all governments should look like in future, and should not be viewed as such);

(c) The need for the full engagement of stakeholders in designing and maintaining the frameworks;

(d) That the desired outcomes can be achieved through the optimal use of ICT advances.

58. The United Nations, the Organization for Economic Cooperation and Development and the World Bank have encouraged Governments to shift to t-government by rethinking the terms of e-government and e-governance and by placing greater emphasis on institutional linkages between and among the tiered government structures for inclusive sustainable development. The United Nations sees this widening of the scope of e-government as necessary for ensuring that Governments have a transformative role in the shift towards cohesive, coordinated and integrated processes and institutions (see the *United Nations e-Government Survey 2012*).

What is the value proposition of t-government?

59. The Organization for the Advancement of Structured Information Standards has identified the following four major ways in which t-government programmes differ from traditional e-government programmes:

(a) They take a whole-of-government view of the relationship between the public sector and the citizen or business user;

(b) They include initiatives to e-enable those in the frontline of public services (that is, staff involved in direct personal delivery services such as education and health care) rather than just looking at transactional services that can be e-enabled on an end-to-end basis;

(c) They take a whole-of-government view of the most efficient way of managing the cost base of government;

(d) They focus on citizens, not customers, in other words they seek to engage with citizens as owners of and participants in the creation of public services, not as passive recipients of such services.

60. The main benefits derived from the t-government model are that it does the following more effectively:

(a) It promotes a reduction in bureaucracy, encourages one-stop-shop experiences and leads to the design of services on the basis of the real-time and relevant needs of the users;

(b) It introduces coordination and cohesion within the government framework that reduces duplication and improves efficiency;

(c) It reduces inter-agency conflict, customer frustration and unnecessary costs;

(d) It enables users of government services to access services on a 24/7 basis.

61. The Organization for the Advancement of Structured Information Standards has described this new approach as a managed process of ICT-enabled change in the public sector that puts the needs of citizens and businesses at the heart of that process and achieves significant and transformational impacts on the efficiency and effectiveness of government, producing a relationship between government and the citizen that is on a richer, more reciprocated and more empowering basis.

62. Most importantly, experts have underscored that the focus is now on the process of transformation, on how a Government can build a new way of working that enables it to rapidly and efficiently adapt to the changing needs of citizens and emerging political and market priorities.

Where is the developing world in the evolutionary process to t-government?

63. In the *United Nations e-Government Survey 2012* it is noted that despite the general progress in the implementation of online services globally, there remains an imbalance in the digital divide between developed and developing countries. While much of the imbalance has been attributed to an immature e-infrastructure, the root cause of the problems may be the absence of a t-government strategy and reliance on the early e-government model.

64. The top 20 countries in the Survey were all high-income developed countries; of the 25 countries recognized as emerging leaders, only the following 6 were developing countries: Kazakhstan, Chile, Malaysia, Colombia, Barbados and Cyprus.

65. Sustainable development and social inclusion remain desirable goals for improving the basic human condition and citizens' standard of living. In this regard, developed countries with strong economies and a robust private sector have sought to ensure sustained growth and development through public sector reform initiatives that have not only used ICT as a fundamental enabler but have re-engineered their government machinery and processes towards these goals specifically. Such Governments are able to generate and leverage the means and resources to ensure that their citizens' needs are met.

66. Less developed countries, on the other hand, face significant challenges in meeting these same objectives. One particular challenge is that of reforming the public service machinery and processes, a challenge that requires significant modernization (as a holistic, long-term, multidirectional and cohesive exercise) and

that often arises in circumstances where the status quo has remained due to strong resistance and suspicion to change.

67. The journey has started but for most countries there is still a long way to go. Even those countries that are well advanced in terms of t-government initiatives will see that the initiatives need to be adjusted and adapted to prevailing circumstances at the global and national levels. The success of the post-2015 agenda is inextricably linked to the need to continue encouraging and supporting the reform of national public administrations in a more transformative way, with ICT being the key enabler.

68. Technological advances continue to offer improvements in terms of how services and products can be delivered more effectively. They also provide meaningful solutions for collaboration across all sectors of the wider public administration configuration at appreciably lower costs than was envisioned at the start of the global e-government thrust. These advances provide means for developing countries to leapfrog over much of the growing pains experienced in earlier transformation initiatives, while offering solutions that match scale and capacity capabilities for developing countries of all sizes.

69. E-participation in governance is an important feature of t-government, as it is a precursor for effectively determining the allocation of resources and distribution mechanisms to meet the real needs of users. Simply put, if citizens have the opportunity to express their needs, as well as how they think these can best be addressed, then efforts and resources will not be wasted providing services or products that do not meet users' needs. The implementation of different channels of engagement for citizens is a vital part of e-participation and meeting the objective of social inclusion.

Should t-government be a major factor in a post-2015 United Nations agenda?

70. For the majority of developing countries, the challenges in delivering t-government and t-governance are far more acute than for the advanced economies and it will require a longer time frame to implement the model. Nonetheless, the benefits to be derived from t-government will provide developing countries with the ability to deploy scarce public sector resources and a clear path to improving the conditions and opportunities for their citizens. A post-2015 agenda that endorses the critical role of public administration in achieving sustainable development will recognize that its principal enabler will be t-government.

71. As has been noted repeatedly, the technological capabilities and the capacity to transform are readily and widely available. What is important now is how to find a way of using them to support and enable the transformative process for a modern public governance framework.

72. A solid foundation for assisting countries has been established through the United Nations Public Administration Network and through associated products and initiatives developed by the Department of Economic and Social Affairs. To attain the desired development and post-2015 goals for all Member States, continued investment is needed in those United Nations programmes that enable developing countries to examine, benchmark, build capacity and take advantage of other technical assistance programmes offered by the United Nations.

V. Conclusion

73. Taken in the context of the ongoing extensive consultation process by the United Nations and in the light of continuing social and economic challenges faced in many parts of the world, the contributions in sections II-IV of the present report identify some recurring themes and provide the following advice on formulating the post-2015 agenda;

(a) Ownership of goals must be genuinely felt nationally and locally, and goals should be integrated with national Government goals and interpreted, planned and reported locally; care should be taken not to distort priorities through the availability of aid and through the intervention of donor staff in planning;

(b) Goals must be expressed in such a way as to address globally recognized concerns (such as hunger and poverty) and, at the same time, encourage an interpretation of the goals that makes them meaningful at the local level and enables them to be incorporated into higher-level strategies and be translated into achievable action plans;

(c) Human rights must be an integral part of the new goals and particular attention should be paid to vulnerable groups at risk, for example, because of their gender or ethnicity;

(d) Sustained collaboration will be required to address complex issues and scarce resources at the national, international and local levels, where ICT can be an enabler for more transparent and effective governance and facilitate the implementation of policy goals;

(e) Continuing improvement in governance is essential for creating an environment for the improved implementation and resolution of complex problems, the protection of resources and the meaningful engagement of citizens;

(f) Enhanced competence in problem solving, collaborative working, innovation and leadership will be required at all levels (i.e., national and local);

(g) Meaningful reporting that supports the resolution of problems (e.g., revealing local disparities) is needed instead of the establishment of league tables that mask areas for improvement;

(h) Appropriate transfer of successful approaches from one area or country to another should be encouraged, with the usual caveats about ensuring local relevance and applicability.

74. More needs to be done to enrich these high-level proposals. It is clear that political resolve will be required to engage with the challenges in a constructive, non-competitive manner. Political leaders will need to demonstrate their willingness to adopt effective governance approaches and to build and implement enabling infrastructures such as ICT strategies and local-level engagement plans. In addition, implementation cannot be achieved without ensuring that individual and institutional capacity also exists to drive forward and together these goals with confidence and expertise.

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The role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda

Accountability of stakeholders in public governance for development

Note by the Secretariat

The present note is hereby transmitted in accordance with the proposed programme of work and agenda for the twelfth session of the Committee of Experts on Public Administration (see E/C.16/2013/1). Preparation of the paper was coordinated by Jan Ziekow, who also authored the introduction and section II, on "Accountability, its dimensions and types" and section III, on the "Significance of citizen engagement in public governance for development". Francisco Longo authored section IV, on "Accountability issues on public-private collaborations". The content of and views expressed in the paper are those of the authors and do not imply any expression of opinion on the part of the United Nations.

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Summary

The present paper highlights the important role of accountability as an indicator of the realization of democratic governance and as an instrument to improve the performance of institutions and the delivery of services. The authors also suggest that accountability has a dual role in public-private collaboration to assure all involved parties, including final users, namely, citizens, that the resources invested in the collaborative venture are well managed and wisely used, and to raise the awareness of managers of engaged organizations in order that they might better understand how the collaboration is being developed, which aspects should be taken greater care of and what opportunities there are for improvement.

I. Introduction

1. Accountability is a central element in recent discussions concerning good governance. It is not only regarded as an indicator of democratic governance, but also as an instrument with which to improve the performance of institutions and the delivery of services. In public governance, there is a clear link between accountability and citizens and a focus on the public interest and the citizens in whose interest State administration is exercised.[1]

2. It is often suggested in political debates that accountability is a magic formula for achieving fully democratic, effective, transparent and citizen-oriented governance. However, rather than solving problems, such suggestions are more likely to cover them up and create new problems.

3. Greater awareness is needed of the meaning of the term in its context, of the actors involved and their relationships and of accountability measures and the necessary tools for their implementation, if accountability is to contribute to the improvement of public governance. Since accountability is a highly context-specific concept, it should be tailored to the institutional, financial and social conditions of the respective State. While accountability primarily plays a supporting role in countries with strong and functioning institutional mechanisms, in developing countries there is a need for a more holistic approach.[2]

4. The section below outlines and illustrates the different levels and dimensions that determine the significance of citizen engagement for accountability.

II. Accountability, its dimensions and types

5. There are many different definitions of the term "accountability", some broad, some narrow. In its basic structure, accountability describes a relationship between two parties. In that relationship, on the one hand, the first party (in the case of public accountability, public institutions and public officials) is obliged to keep the other party (the public) informed about the fulfilment of its tasks, planning, actions and results and to explain all of these. On the other hand, the public may request information from and judge the behaviour of the first party, which is accountable to it. Furthermore, that judgement shall have consequences.[3] Single elements, such as obligation, information, judgement and consequences, can be designed as formal mechanisms or informal processes. In most definitions, such elements are merged into two dimensions: answerability and enforceability.

6. This basic, two-part model of accountability insufficiently reflects the complex reality of the various governmental, public-sector, economic and social actors. Relationships that establish accountability are also possible between several actors and in a multi-level approach. In that case, an actor who ensures the accountability

[1] Mark Bovens, "Analysing and Assessing Public Accountability, A Conceptual Framework", *European Governance Papers*, No. C-06-01, p. 11 (January 2006).

[2] Abu Elias Sarker and Mostafa Kamal Hassan, "Civic Engagement and Public Accountability: An Analysis with Particular Reference to Developing Countries", *Public Administration & Management*, vol. 15 (2010).

[3] Anne Marie Goetz and Rob Jenkins, "Voice, Accountability and Human Development: The Emergence of a New Agenda", United Nations Development Programme (UNDP) (2002).

of another will himself be held accountable by a third actor. Distinguishing these different relationships is not only an academic question, but one of crucial significance for the successful design of accountability.

7. For that reason, it is useful to further specify the several different types of accountability.

8. The term "horizontal accountability", in a State context, comprises the institutional control of governmental institutions by other governmental institutions through a system of checks and balances, and the oversight or control of governance by independent agencies.[3,4] Examples include the control of government through parliament, the review of the constitutionality of executive decisions by courts and the monitoring of public spending by audit institutions.

9. The term "vertical accountability" is understood as the relationship between State institutions and actors and external actors.[3] The instruments of vertical accountability include elections; the right of citizens, civil society and the media to demand information about governance; and the ability of the public to evaluate governmental actors.

10. The third type of accountability is "hybrid" or "diagonal accountability". In this model, external actors, who in vertical accountability hold governmental institutions to account, are included in relationships of horizontal accountability. This is realized primarily through the inclusion of citizens or civil society organizations in commissions or other entities designated as public institutions and charged with exercising control over governmental institutions.[4]

11. The hybrid type of accountability makes it clear that establishing accountability is not about formal concepts but about achieving a goal, which requires the concepts to be adapted to the relevant specific needs. However, that does not change the fact that accountability must be established on the basis of a clear analysis of who is accountable to whom and for what. Failure to do so could lead to ineffective constructs and to concepts being reduced to mere tokens.

12. Government institutions and public managers are regularly and often simultaneously confronted with horizontal, vertical and diagonal forms of accountability. The instruments used for establishing accountability have to be carefully differentiated, based on the type of accountability required and the type of forum by which accountability is requested. There is a significant difference in the instruments required based on whether accountability is part of public-private collaborations (see sect. IV) or of an entire system of government engaging its citizens (see sect. III).

[4] Seema Khan, "Topic Guide on Empowerment and Accountability", Governance and Social Development Resource Centre (March 2012); and Bhavna Sharma, "Voice, Accountability and Civic Engagement", UNDP (August 2008).

III. Significance of citizen engagement for accountability in public government for development

A. Accountability and the citizen

13. There is no doubt that citizens play a central role in public accountability. In the relationship of vertical accountability, they are the party that holds a government and its institutions to account. Vertical accountability also affects horizontal accountability, in which parliament acts as an interface. The elected parliament, locked in a relationship of vertical accountability to the citizens, holds the government and administration politically accountable through horizontal accountability. That connection of horizontal accountability with vertical accountability is reflected not only through general elections but also by the political pressure that citizens are able to exert on individual members of parliament and by the ability of citizens to monitor the members, inter alia, through requests for information about their work.

14. The problem, however, is that this theoretical connection often does not function sufficiently well to ensure accountability, especially in developing countries. Reasons for that include long intervals between general elections and weak monitoring instruments for any politically aware public and mass media, both of which inhibit effective vertical accountability. Other problems that inhibit the functioning of horizontal accountability include vote-rigging or -buying and clientelism within the political elites.[2]

15. There is therefore a need to build additional arenas to compensate for the weaknesses of institutionalized mechanisms of accountability. Traditional instruments, such as access to information and transparency, are often insufficient, because government and policy shortcomings can be tolerated, despite their not being accepted by the public. The approach of social accountability is widely accepted as a tool for bridging the gap left unsettled by such traditional instruments. The World Bank defines social accountability as an approach that relies on civic engagement, where ordinary citizens and/or civil society organizations participate directly or indirectly in exacting accountability. Mechanisms of social accountability can be initiated and supported by the State, citizens or both, but very often are demand-driven and operate from the bottom up.

16. That definition clearly shows that social accountability is not an independent type of accountability itself, but rather an approach to enhance the effectiveness of the aforementioned types of accountability. The concept of social accountability is therefore broader than but related to diagonal accountability.

17. While the vertical, horizontal and diagonal types of accountability focus on the respective actor to be held accountable, the focus of social accountability is on citizens, who, as actors, ensure accountability by their own actions.

18. This change in perspective extends the basic structure of accountability in that one party requests information and accountability from the other and, in exchange, provides evaluation. Social accountability initiatives can be organized in a top-down or bottom-up manner. If a government is interested in and acts to ensure the trust of citizens in its institutions, then confidence-building mechanisms must be at the top of its agenda. Social accountability is a component of network governance, on

whose implementation and success the government will ultimately be held responsible (see E/C.16/2012/2). An analysis of case studies reveals that a government must actively promote and possess a strong political will if implementation is to be successful.[2]

19. In that context, the successful institutionalization of the relationship is a crucial issue. Although such institutionalization is essential for the effective and sustainable strengthening of accountability, it does not necessarily have to be achieved by establishing a legal basis or by creating formal institutions. Instead, and above all, priority must be given to the creation of a political environment that is conducive to the firm embedding of social accountability processes.

20. However, social accountability must neither be made a purely top-down process by government actions, nor be misused as a strategy to marginalize bottom-up citizens' initiatives. Social accountability requires only the establishment by the State of a framework in which citizens' engagement can develop within an accountability relationship.

21. Furthermore, the institutionalization of social accountability must not undermine the constitutional and political responsibility of democratically legitimate bodies. Social accountability is a tool to enhance the responsibility and responsiveness of State bodies and to boost trust in the legitimacy of their actions. It must therefore neither run at cross purposes to those ends, nor lead to the establishment of concurrent institutions that undermine the authority of State institutions and mechanisms.

22. Such preclusions are especially valid given that social accountability depends more on strong civil society organizations that are capable of taking action than on the individual citizen. Such organizations may be based on direct civic legitimacy, but this is not true in every case. An organization could instead be an expression of processes leading to the concentration of social power or of external influences, for example, by foreign donors. Since it is necessary for civil society organizations to be ultimately accountable to citizens, even though in reality that is not always the case, awareness of the complementary but not substitutive functions of social accountability is important.

23. Social accountability depends on taking citizens seriously without blurring the boundaries of the responsibility of government institutions. In fact, the interdependency of the relationship is what enables citizens, especially the poor and underprivileged sections of the population, to increase their political awareness and articulate their interests, protect their rights and, eventually, pursue their right to demand accountability. In return, that awareness will stimulate learning and improvement processes in the State.

B. Citizen engagement for accountability in pursuing development goals

24. There are several reasons for including citizens in governance processes, including to deepen the democratic culture, to obtain information, to achieve a more targeted fulfilment of needs, to mitigate financial constraints and/or limited public sector competence for problem-solving and to reduce service costs through co-production. Those and other facets come under the scope of citizen engagement,

which includes the actions of the different actors who cooperate in different relationships with the government. A dialogue-based structure is crucial for citizen engagement.

25. Because of its holistic approach and its basis in communication channels and feedback loops between the State and the citizen, citizen engagement is the core element of social accountability. On the one hand, citizen engagement is a tool for improving accountability through social accountability, while on the other hand, continuous interaction enhances citizen engagement by producing accountability. Without the processes of accountability and government information that transparently shows how citizen inputs affect the engagement process, citizen engagement would go nowhere in the long term.

26. If citizen engagement actually produces social accountability, this set of instruments will be an important contributor to the achievement of the Millennium Development Goals and other goals identified for beyond 2015. Citizen engagement that is committed to supporting social accountability can enable the poorest and most vulnerable citizens to articulate their needs and thus help to improve public decision-making and public service delivery. Giving those people a voice and amplifying that voice institutionally is the overall purpose of social accountability.

27. This will only be successful if citizen engagement in social accountability relationships is not purely outcome focused. It is equally important to address accountability as a process, since the way in which disadvantaged citizens are given a voice and the way in which State institutions address the contributions of such people is essential for the success of social accountability. It is not sufficient merely to provide a platform for collecting the contributions of citizens. Citizen engagement is at its core dependent on transparency and freedom of information. Yet it is not enough simply to open up to marginalized communities, provide them with access to and the means of effective engagement and give them a voice. Providing only access to information confers an advantage on those sections of the population that already have a high level of information and are therefore able to use any additional information in a targeted manner. That would aggravate the existing problem of elite capture of the social accountability process.

28. A process-oriented approach to social accountability should therefore always have an element of empowerment. That means not only that citizens should be provided with information, but also that the meaning and possible consequences of such information should be explained to them in detail. Only under those conditions could disadvantaged people be given an active role in social accountability. Furthermore, it is necessary to strengthen the ability of that section of the population collectively to articulate its needs and outline its expectations regarding the responsiveness and actions of the State. A sustainable process of social accountability would not be achievable without simultaneously creating such a skills base.[2]

29. Other important criteria for the success of social accountability are the involvement of a plurality of citizens, civil society and organizations and the inclusion of different government actors. While it is true that national governments should be the main promoters of social accountability processes, it is not sufficient that such processes be dictated from the national level. There is an urgent need for the integration of subnational governments in such processes. That is especially true for local governments, which, more than any other governmental actor, have multiple informal and direct contacts with citizens and civil society.

30. Furthermore, the tools for constructing social accountability must be clearly defined. A strong commitment of all actors to social accountability and citizen engagement is necessary but insufficient. Instead, a precise selection of tools that facilitate easy access for the poor is required. That means incorporating methods that are easy to comprehend and manage and that simultaneously reduce the risk of elite capture in order to effectively create a sustainable process of accountability. That in turn implies the primary use of approved and established instruments, such as ombudsmen and audit institutions, and the promotion of diagonal accountability (see sect. II) in order to involve citizens. If such institutions are insufficient for establishing accountability, then additional instruments will need to be applied, for example, participatory budgeting, public expenditure tracking, citizen monitoring of public service delivery, citizen advisory boards and oversight committees, social audits, community scorecards or information technology tools. In doing so, those instruments should not be employed as a technocratic one-size-fits-all solution, but instead should be adapted to the political, cultural, social and financial conditions of a country.

IV. Accountability issues in public-private collaborations

31. Observers of the global public management landscape are witnessing an increase in the variety and complexity of the forms of public-private collaboration as a tool of public governance. However, our knowledge in the field of cross-sectoral collaborations is still developing and has yet to fully examine the many organizational forms that have emerged in recent years.

32. Over the past two decades, conventional bureaucratic solutions to the problems of government have been found increasingly wanting. Governments around the world have implemented many initiatives designed to access the human and material resources of the private and voluntary sectors. Within this context, inter-organizational collaborations have emerged as one of the most popular though controversial ways of applying cross-sectoral expertise on complex social issues.[5]

33. Public-private collaborations are commonly defined as long-term voluntary relations between public and private organizations concerning one or more areas of activity. Both parties regulate their projected future conduct by means of mutual forbearance and specified contractual mechanisms to jointly develop products and services and share risks, expenses and benefits.

34. Inter-organizational collaborations are considered a new way of meeting the challenges faced by today's public managers. Their increasing use is attributable to the tangible benefits that they arguably bring to all parties involved in a collaboration. It is believed that public-private collaborations can combine the strengths of the private sector, for example, innovation, financial capacity, knowledge of technologies, managerial efficiency and entrepreneurial spirit, and the social responsibility, environmental awareness and local knowledge of the public sector. One of the major challenges in making public-private collaborations work is ensuring that the potential complementarities of each partner can be successfully brought together.

[5] Graeme A. Hodge and Carsten Greve, "PPPs: The Passage of Time Permits a Sober Reflection", *Economic Affairs*, vol. 29, issue 1 (2009).

35. However, major issues regarding the development of cross-sectoral collaborations include how the public sector can ensure control over the product or the service to be provided and how public organizations can ensure the accountability of the partnership. To address those issues, it is necessary to reassess the concept of accountability in order to apply it to inter-organizational collaborations.

36. Traditionally, the concept of accountability has referred to the control of the actions of organizations or individuals to ensure their compliance with existing rules and regulations. Within the public sector, accountability has become fundamental to ensure the optimal use of public resources. However, when applied to public-private collaborations, this generic perspective has failed to cover the responsibilities of each party involved in the collaboration.

A. Accountability in collaborative public management

37. Accountability can be defined as the ability to obtain timely and accurate reporting and to use that information to evaluate performance.[6] The multi-party, non-hierarchical nature of such evaluations is an aspect of collaboration that is of great concern and has received little attention.

38. The rise in collaborative public management has demanded increased research on collaboration, negotiation and accountability. While there is plenty of room for further research in these areas, important advances have occurred in recent years. However, research on the accountability of government interaction with social and economic actors is far less developed and the few studies that have been conducted do not examine collaborative public management specifically, but rather public network management and subcontracting. Yet, in addition to the inclusion of social agents in the decision-making process, collaborative public management requires accountability with regard to the implementation of agreed policies. Accountable collaborative public management must provide timely and accurate reporting to all parties involved in the agreement so that they can use that information to evaluate performance.[6]

39. The use of public resources to develop projects with private participation heightens the importance of accountability in public-private collaborations. While all organizations engaged in any collaboration will share its main objective, it should be considered that each organization will also have its own interest. Accountability is fundamental to ensuring that the achievement of the main objective is not eclipsed by the different interests of the engaged organizations.

40. It has been standard practice to consider the accountability of public organizations, when collaborating with private actors, to end once a project is awarded to a private actor. In other cases, accountability has been developed by the public sector in a purely highly hierarchical way, as in a principal-agent relationship, where the principal must ensure the correct development of the project by the agent. These perspectives maintain the concept of control in which private organizations interacting with public bodies are ultimately controlled by governments.

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[6] Barbara S. Romzek and Jocelyn M. Johnston, "State Social Services Contracting: Exploring the Determinants of Effective Contract Accountability", *Public Administration Review*, vol. 65, No. 4 (2005).

41. However, the connection between accountability and the outcomes and outputs of a public-private collaboration should apply to all actors of that collaboration, since the possible risks and expected benefits are shared. The actions of public and private organizations engaged in inter-organizational collaborations produce important consequences for the area in which the collaboration is developed. It is therefore essential to emphasize the joint responsibility of each member of the collaboration to ensure its correct development. That is not an easy task, since public-private collaborations must be accountable to all stakeholders, such as employees, consumers, suppliers, local communities, policymakers and society at large. Private organizations engaging in such collaborative ventures should therefore acknowledge accountability as part of the corporate mandate.

B. Performance of public-private agreements

42. Performance, the underlying concept of accountability, is a developing area of inter-organizational relations, partnerships and networks. Studies in this area have shown that the concept of performance in inter-organizational collaboration is far from simple, particularly when collaboration agreements are transformed into multi-agency policies. When programmes involve multiple parties to an agreement, rather than one-size-fits-all performance indicators, all parties should be involved in establishing accountability and combining resources to achieve a negotiated end state. Moreover, assessments can be made at different levels, using different criteria and in reference to different actors.[7]

43. The most obvious definition of performance, the achievement of previously defined goals, must be adapted when referring to inter-organizational arrangements, since these involve different participants with different goals and no central actor is solely responsible for the goals. Moreover, in inter-organizational partnerships and networks, partners modify their goals as the interaction unfolds. The evaluation of performance in relation to predefined goals therefore becomes problematic for three main reasons:

(a) Inter-organizational level goals may not exist;

(b) Organizational level goals will differ among partners;

(c) Partners may modify their organizational and inter-organizational level goals as the interaction evolves.

44. To overcome these issues, some studies[8] have used the ex-post judgements made by actors concerning processes and tangible outcomes as the evaluation criteria to capture the performance of the collaborative agreements.

45. A related issue is the level of analysis at which performance is evaluated. Three such levels have been identified as the individual person, the partner organization and the inter-organizational alliance or partnership.[9] The five different

[7] Robert D. Behn, *Rethinking Democratic Accountability*, Brookings Institution Press (Washington, D.C., 2001).

[8] See Robert Agranoff, "Enhancing performance through public sector networks: mobilizing human capital in communities of practice", *Public Performance and Management Review*, vol. 31, No. 3 (2008).

[9] Colin Eden and Chris Huxham, "The negotiation of purpose in multi-organizational collaborative groups", *Journal of Management Studies*, vol. 38, No. 3 (2001).

perspectives from which to assess a collaboration have been identified as the degree of problem resolution, trust generation, creation of shared meaning, increased relational density and power redistribution.[10] In public-related networks, a fourth level of analysis is the social environment of the undertaking. Assessing networks at this broader level is relevant in public, non-profit and cross-sectoral networks. The four levels of assessment have been identified as the community served by the inter-organizational set, the inter-organizational set itself, the separate organizational members and participating individuals.[8]

C. Difficulties of measuring accountability

46. Managing accountability in public-private collaborations combines the difficulties of being accountable to society at large, since public organizations are involved, and those that emerge as a result of being accountable to a large number of different stakeholders of each organization engaged in the collaboration. As a consequence, monitoring the compliance of the different interests within a public-private collaboration becomes equally important and challenging. Monitoring accountability in public-private collaborations has been described as tremendously demanding because of the lack of both performance information and access to performance data, the sectoral and personal differences regarding performance and collaboration and the frequent changes in personnel, resource commitment and composition of partners.[11]

47. Furthermore, when public or private organizations assess whether they have developed their projects cost-effectively and have achieved satisfactory quality results, they can clearly monitor their processes since the results are effectively identifiable. In that respect, it has been argued that accountability in public-private collaborations depends heavily on anticipating the ex post issues and relationships.[12] It also depends on procedures and decision rules embedded in the agreement. However, assessing the success of public-private partnerships does not have to wait until the termination of the agreement. The quality of services can be compared with past performance, that of other partnerships or the performance standards established in the public-private partnership. However, public-private collaborations often do not have such clearly identifiable results, since they are usually long-term projects responding to issues of high complexity.

48. A first milestone for the satisfactory development of accountability measures in public-private collaborations is therefore the setting of measurable objectives, not only at the end of the project but also at its midterm, that would help both parties to assess how the collaboration is being developed. Goals in public-private collaborations should act as a guide for decision-making and a reference standard for evaluating accomplishment. However, for such goals to be met, it is important that managers are not pressured to meet too many objectives or deliver instant results.

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[10] Barbara Gray, "Assessing inter-organizational collaboration", *Cooperative strategy — economic, business and organizational issues*, Oxford University Press (New York, 2000).

[11] Muhittin Acar, Guo Chao and Yang Kaifeng, "Accountability — when hierarchical authority is absent: views from public-private partnership practitioners", *The American Review of Public Administration* (2008).

[12] John Forrer, James E. Kee, Kathryn E. Newcomer and Eric Boyer, "Public-private partnerships and the public accountability question", *Public Administration Review* (2010).

49. Multifaceted public-private collaborations can frequently represent an unexpected and possibly unwelcome inheritance for new managerial teams, especially in the public sector, where accountability pressures are greater, as the user is the citizen. This places greater pressure on the respective partners to sustain a broad agreement on the means and ends of the collaboration than there would be in a typical contracting arrangement, in which the parties would be able to look to the original contract specification as a basis for renegotiation.

50. Despite their potential advantages, collaborations that bring together actors from the public and private sectors can present tensions, such as:

(a) Differences of problem definitions, namely, political risks of government versus market risks of business organizations;

(b) Government reluctance with regard to process and result versus private party reluctance with knowledge and their own effort;

(c) Confrontation leading to a mutual locking of agreements and to the adoption of tried-and-tested types of cooperation using contracts.

51. Such tensions can therefore cause collaborations to fail to create added value through cross-sector interaction. Tensions should be managed in order to avoid hindering the development of the collaboration.

52. In order to enhance accountability in public-private collaborations, organizations should reinforce informal and formal control mechanisms. In public organizations, such mechanisms have been linked with high levels of bureaucracy. However, one of the advantages of public-private collaborations is that control can be used to avoid many existing written procedures in order to gain flexibility and improve performance, provided it does not conflict with the procedures that are needed to ensure accountability. In that respect, public-private collaborations should not merely replicate the accountability measures normally used in public organizations, but take the opportunity to develop better accountability measures that require less bureaucracy and fewer resources to be carried out. Public organizations should merge their capabilities with private actors to develop accountability frameworks that would satisfy the configuration of stakeholders of each collaborative project.

53. Accountability has a dual role in public-private collaborations. It is used to reassure the parties involved, including citizens as the final users, that the resources invested in the collaborative venture are well managed and wisely used. It is also used to raise the awareness of managers of engaged organizations in order that they might better understand how the collaboration is being developed, which aspects should be taken greater care of and the opportunities for improvement. Managing public-private collaborations is tremendously challenging. In that respect, accountability can be the best ally for the success of such ventures.

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The role of responsive and accountable public governance in achieving the Millennium Development Goals and the post-2015 development agenda

Creating an enabling environment for the post-2015 development agenda

Note by the Secretariat

The present paper is hereby transmitted in accordance with the proposed programme of work and agenda for the twelfth session of the Committee of Experts on Public Administration (E/C.16/2013/1). Preparation of the paper was coordinated by Bin Hao, member of the Committee, who also authored section II, "Human capital development for economic growth", and section IV, "Role of the United Nations system in promoting human capital development within the framework of the post-2015 development agenda". Mr. Hao also contributed to section III, "Reporting, monitoring and evaluation of publicly funded projects, service delivery and Government performance", which was authored by Committee member Siripurapu Kesava Rao with the assistance of Mary Elliot, Chief of the Director General's Office of the Administrative Staff College of India. The views expressed and the content presented in the paper are those of the authors and do not imply any expression of opinion on the part of the United Nations.

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Creating an enabling environment for the post-2015 development agenda

I. Introduction

1. A key component of public administration and governance relates to the exercise of State authority to promote and manage human capital for development. The administration of national education stems from the political and constitutional governance structures in place, which affect both the level and the quality of human capital and its impact on economic growth and sustainable development.

2. The role of public administration is inextricably linked to that of managing the governance of public education, including the assessment of the quality of public sector institutions responsible for public education, skills acquisition, and research and development, which together promote national human capital and are conducive to economic growth and long-term sustainable development.

3. Underpinning the global discussion on the role of human capital in the post-2015 development agenda is a review of what was achieved during the Millennium Development Goals experience (2000-2015) and what lags behind. An overview of trends over the past decade clearly shows that, notwithstanding worldwide progress, inequalities between and within countries persist, with striking inequalities in the levels of educational attainment and outcomes at the national and community levels. Since the acquisition, adaptation and creation of information, skills and innovation are drivers of national sustainable development, a concern for finding solutions to the unequal and lagging achievements in human capital development, especially in developing countries, is leading the quest for a more meaningful framework for the future. In this context, several strands of thinking are being brought to the surface in terms of both the processes and the content of public governance of human capital as a prelude to defining the possible shape of education goals in the post-2015 development agenda.

4. Of particular note is the thinking on the importance of equity and the quality of education for the development agenda of the future. With regard to learning outcomes and their relationship to national human capital, a key focus is on improving the learning experience so that learning outcomes are both inclusive and measurable. An important dimension in setting the framework for the post-2015 development agenda is that of monitoring progress on national educational goals and targets.

5. Policy issues framing the debate on human capital development need to be given strategic consideration in any discussion on development. As the collective global discussion on the framework for the post-2015 development agenda gains ground, there is a need to review the challenges of human capital development and its relationship with public administration, public policy and development.

6. The present paper aims to present some of the major human capital challenges that the developing world faces with regard to economic development and to explore strategies aimed at building human capital development for sustainable economic growth. It draws on regional and national experiences and considers the role of the United Nations system. The purpose is to draw attention to the issues that need to be addressed and offer a basis for discussion.

7. As the role of the State has expanded beyond that of keeping law and order to that of maintaining economic stability and sustaining inclusive growth, the capacity to track and evaluate the performance of Governments has assumed greater importance in all parts of the world, be they industrialized or developing. This paper seeks to set out some thinking and developments in this regard, drawing on examples from India and other parts of the world with a view to stimulating discussion and outlining lessons that can be learned from the wider experience.

II. Human capital development for economic growth

8. Experiences and practices have proved that human capital is one of the major contributing factors to economic growth. The general definition of human capital is the stock of competencies, knowledge, social and personality attributes, including creativity, embodied in the ability to perform labour so as to produce economic value. Human capital investment and economic growth are mutually reinforcing. Economic growth creates the conditions for better living standards for the population and greater revenue for the public sector. This often leads to an improvement in the quality of human resources as expressed by a more educated population, more highly skilled workers and greater potential for innovation, all of which are key factors driving economic growth. Economic growth paves the way for developing countries to alleviate poverty, achieve the Millennium Development Goals, make greater progress in the post-2015 period and avoid the middle-income trap.

Human capital development challenges facing the developing world

9. Over the past decades, in particular since the beginning of the twenty-first century, developing countries have made great strides in human capital development.

10. Sub-Saharan African countries have seen net enrolment rates in primary education increase from 58 to 76 per cent in a decade and over 30 African countries are on track to meet the Millennium Development Goal of achieving universal primary education by 2015. Asian countries have made significant progress in providing primary education to their population. Between 1999 and 2008, the number of out-of-school children in South and West Asia fell by 26 million. In 2009, 6.1 millions students graduated from institutions of higher learning in China while 4.9 million students graduated from universities in sub-Saharan Africa. A total of 22.9 million students were enrolled in institutions of higher learning in mainland China, while 15 million students were enrolled in such institutions in sub-Saharan African countries.

11. In 2010, 1.21 million scientists and engineers were engaged in research and development in China, ranking China second in the world. According to a report of the Ministry of Science and Technology of China, China's human capital investment accounted for 12 per cent of its gross domestic product (GDP) in 2010, contributing 32.6 per cent to the nation's economic growth. Between 1998 and 2003, the number

of scientists in the developing world rose significantly: by 52 per cent in Africa, by 36 per cent in Asia and by 11 per cent in Latin America.[1]

12. At the same time, some economies experienced growth unprecedented for developing countries. From 2001 to 2010, 6 of the world's 10 fastest-growing economies were in sub-Saharan Africa, according to the African Development Bank. Countries such as Ethiopia, Botswana, Benin and Burkina Faso have made great economic strides and were among the 25 "top movers" (out of 135 countries) in terms of the Human Development Index between 1970 and 2010.[2]

13. However, many developing countries continue to face multiple challenges in terms of human capital development with regard to meeting the needs of inclusive and sustainable economic growth leading up to 2015 and beyond.

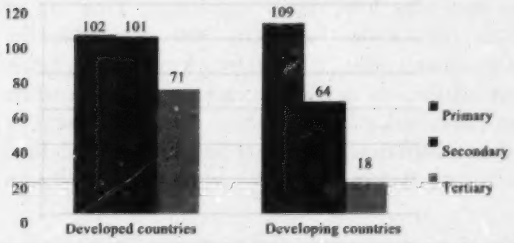
Formal education

14. The occupational success and mobility of individuals and the upgrading of technical skills are closely linked to the possession of basic formal education, yet there remain many obstacles for people in many developing countries to access quality basic formal education. Developing countries are facing two major tasks: ensuring universal primary education and improving the quality of formal education.

15. Globally, there were 775 million illiterate adults in 2010, around two thirds of whom were women. In some regions, efforts to improve the literacy rate have not made the desired progress. Between 2008 and 2010, the number of out-of-school children in sub-Saharan Africa increased by 1.6 million.[3]

16. Almost 50 million children from poor backgrounds and rural communities — most of them girls — still do not have access to primary education. The lower secondary school gross enrolment ratio was just 52 per cent in low-income countries in 2010. Secondary school intake rates in sub-Saharan Africa remain as low as 32 per cent. For those who are enrolled in school, millions are failing to learn the basics, such as achieving literacy.

Gross enrolment ratios for developed and developing countries in 2007



Source: Human Development Report 2010.

[1] Jacques Gaillard, "Measuring research and development in developing countries: main characteristics and implications for the Frascati Manual", *Science, Technology and Society*, Vol. 15, No. 1 (March 2010), pp. 77-111.

[2] United Nations Development Programme, *Human Development Report 2010: The Real Wealth of Nations — Pathways to Human Development* (Basingstoke and New York, 2010).

[3] United Nations Educational, Scientific and Cultural Organization, *Education for All Global Monitoring Report: Youth and Skills — Putting Education to Work* (Paris, 2012).

17. As the figure indicates, in 2007 the tertiary gross enrolment ratio of developing countries was one fourth of that of the developed world. In sub-Saharan Africa, it was 5 per cent. In addition, higher education is becoming more inaccessible to the poorer sections of society in developing countries.

18. For many countries, especially developing countries, access to adequate funding continues to be the main problem. Insufficient domestic revenues are allocated. As table 1 indicates, between 1999 and 2010 per capita public education spending was very low, with the low-income countries spending only $22, or 3.4 per cent, of the world average. As bilateral donors have failed to deliver on their commitments regarding long-term predictable financing for the education sector, sub-Saharan Africa received only around half the increase it was promised. The public sectors are not able to provide adequate services. For the poorest of the poor in some developing countries, school fees and other costs continue to discourage school attendance and enrolment. According to a 2011 report on education franchising in India, the education sector in that country requires investment worth $150 billion over the next 10 years.

Table 1
Public spending on education, by region and income level, 1999-2010

	Public education spending				
	Percentage of gross national product		*Real annual growth rate (Percentage)*	*Per capita (constant 2009 US$)*	
World	4.5	4.9	2.7	528	644
Low-income countries	3.1	4.6	7.2	15	22
Lower-middle-income countries	4.3	4.8	3.1	83	105
Upper-middle-income countries	4.6	4.7	5.3	250	332
High-income countries	5.0	5.4	2.3	1 489	1 792

Source: Education For All Global Monitoring Report (2012).

Skilled workers

19. Skilled workers stand a chance of getting jobs that pay decent wages and of becoming a productive force in the economy. But in developing countries, many people do not acquire the necessary skills. The Institute for Statistics of the United Nations Educational, Scientific and Cultural Organization (UNESCO) carried out an analysis of 59 countries and found that in 30 of them, at least half of all young people between 15 and 19 years of age lacked foundational skills, let alone transferable and technical skills. Employers in many African countries note that the workforce is inadequately educated and that this is a problematic factor for doing business.

20. In their report on human resources development, Wu Jiang and Tian Xiaobao noted that by the end of 2010 there were 112 million skilled workers in China, in other words workers who had received some training and had qualifications and certificates. Of those skilled workers, 25.6 per cent were classified as high-skilled

workers. This rate was significantly lower than the rate of high-skilled workers recorded in the developed countries (35 per cent). An analysis of the statistics of some selected public employment agencies in China indicated that 54 per cent of available jobs required qualifications and certificates.

21. In India there is a significant shortage of skills throughout the formal economy. In a study, the Confederation of Indian Industry and the Boston Consulting Group estimated that India was likely to increase its deficit of 5.25 million employable graduates and vocationally trained workforce by 2012.

Table 2
Output per worker, constant $2,000 at purchasing power parity, 1996 and 2002-2006

Productivity levels	*1996*	*2002*	*2003*	*2004*	*2005*	*2006*
World	15 824	17 626	18 019	18 613	19 150	19 834
East Asia	6 347	9 345	9 965	10 745	11 552	12 591
South-West Asia and the Pacific	8 068	8 202	8 520	8 860	9 067	9 419
South Asia	5 418	6 353	6 662	7 111	7 531	7 998
Latin America and the Caribbean	17 652	17 337	17 228	17 758	18 250	18 908
North Africa	12 967	13 962	14 174	14 159	14 292	14 751
Sub-Saharan Africa	4 490	4 618	4 677	4 806	4 935	5 062
Middle East	22 130	20 990	21 273	21 119	21 630	21 910

Source: Report by Zhanghi and Gao Shuguo on rejuvenating the nation through human resources development (2010).

Human capital flight

22. Every year, thousands of highly talented engineers, scientists and other intellectuals leave developing countries and migrate to developed countries in search of a better living standard, among other reasons.

23. The African Capacity-Building Foundation has estimated that 20,000 skilled personnel from African countries migrate to the developed world every year and that Africa spends roughly $4 billion a year to hire foreigners to meet the demand for skilled workers.[4] In the Caribbean countries, over 85 per cent of individuals with a tertiary education emigrate from countries such as Grenada, Guyana and Trinidad and Tobago.

24. Human capital flight can have profound economic, social and development effects on the countries of origin, especially if they are small. It can reduce the amount of human capital available in developing countries, including dynamic and innovative people. It can have negative effects in terms of scientific output and of nurturing entrepreneurism. It can slow the transfer of technology and widen the gap between the developing and developed world.

[4] African Capacity-Building Foundation, *Market for African Development Management Professionals* (Boulder, Colorado, Lynne Rienner Publishers, 2007).

Research and development

25. Weakness in terms of the originality and innovation of their human capital, the limited number of research and development personnel in the business sector and the low level of the research and development practiced by their human capital continue to impede developing countries in their search for the progress they urgently need.

26. One study found that, in 2006, 115 developing countries contributed only 20 per cent of the world's scientific publications, most of which were produced in some of the bigger countries. According to that study, the scientific articles published by developing country scientists had less impact at the international level.[1] Countries in Tropical sub-Saharan Africa have only 18 scientists and engineers per million population, compared with 69 in South Asia, 76 in the Middle East, 273 in Latin America and 903 in East Asia. In the developed world, this figure is much higher. The research and development machinery in place in the countries of the Organization for Economic Cooperation and Development is 50 times greater than that of their counterparts in developing countries. Tropical sub-Saharan African countries produce roughly 5 per cent of the average patents per capita in the rest of the developing world. According to figures released by the State Intellectual Property Office of China, only 14.2 per cent of the registered patents in China were inventions, while in other countries 78.6 per cent of registered patents were inventions. In terms of the proportion of the budget devoted to research and development, most developing countries invest much less than 1 per cent of GDP, with some countries in Central Asia investing as little as 0.1 per cent of GDP.

Informal sector

27. The informal sector is a pervasive and persistent economic feature of most developing economies. Recent estimates of the size of the informal sector in developing countries range between roughly 20 and 80 per cent of non-agricultural employment. In the poorer countries in Latin America and the Caribbean, the informal sector accounts for more than half of all non-agricultural employment. In a survey of five African countries (Kenya, Senegal, the United Republic of Tanzania, Zambia and Zimbabwe), it was found that about half of informal sector workers have either no education or just a primary education, and that less than 5 per cent of such workers had a post-secondary education.[5] Low educational levels limit the ability of a person to be trained and lead to low levels of skills.

28. The informal sector receives little attention in most countries in terms of skills training. In fact, the review of 46 developing countries conducted by UNESCO for its *Education for All Global Report 2012* shows that most countries do not have a national skills development strategy that explicitly addresses the informal sector. Few training programmes are available for those working in the informal sector, and many such programmes are considered theoretical in focus, expensive, rigid and too standardized to meet the multi-skill needs of the highly diverse informal sector.

[5] Haus Christian Haan, *Training for Work in the Informal Micro-enterprise Sector: Fresh Evidence from sub-Saharan Africa*, Technical and Vocational Education and Training: Issues, Concerns and Prospects Series, vol. 3 (Dordrecht, the Netherlands, Springer, 2006).

Policy measures for human capital development in the developing countries

29. Over the years, developing countries have adopted innovative, coordinated and holistic approaches to ensure further progress in terms of human capital development.

Making education more accessible

30. Education is the great catch-up opportunity for developing countries, as the influence that education has on economic growth in developing countries tends to be stronger. While a formal primary education enables young children to gain foundational skills such as reading and arithmetic, secondary education provides the most effective way to develop the skills needed for work and life.

31. Many developing countries, including those mentioned below, have taken measures to make sure that education better serves children, particularly the most disadvantaged in society:

(a) **India**. In 2009, the parliament passed the Right of Children to Free and Compulsory Education Act, which came into effect in April 2010 and consolidated the existing compulsory education acts of individual states; it also included provisions guaranteeing the right of all the children to a free and compulsory education;

(b) **China**. The State Council adopted a national education reform and development plan for 2010-2020 on 6 May 2010; the plan specifies that the Government will make sure no school-age child will drop out of school because of poverty, location of residence or problems learning during a compulsory nine-year period;

(c) **South Africa**. The Government and stakeholders have made a collective commitment to ensure improved universal access to quality basic education and schooling (up to grade 12) that is purposefully focused on achieving a dramatic improvement in education outcomes for the poor;

(d) **Indonesia**. In 2005, the Government implemented the Free Basic Education Policy, abolished school fees and, through the school operational assistance programme, introduced grants to guarantee the ability of schools to finance their operational costs;

(e) **Brazil, Chile and Mexico**. Cash transfer programmes, such as Brazil's "Bolsa Escola" and "Bolsa Familia", Mexico's "Oportunidades" and Chile's "Chile Solidario", were implemented;

(f) **Cambodia, Kenya, Nigeria and the United Republic of Tanzania**. Official school fees were eliminated;

(g) **Timor-Leste**. Uniform requirements were removed during the tuition fee abolition process of 2000.[6]

[6] Raja Beutaouet Kattau, *Implementation of Free Basic Education Policy*, Education Working Paper Series, No. 7 (Washington, D.C., World Bank, 2006).

32. For developing countries, increasing access to education, including universal primary education, is far from enough. Much more is needed to make formal education function better in accordance with the principles of equity and quality: efforts must be made to address the disparities between schools, regions and urban and rural areas. Developing countries must adopt innovative approaches to make progress and catch up with the developed world.

Ensuring vocational training for workers

33. Technical and vocational education and training opportunities exist in a variety of economic sectors, including retail, tourism, information technology and cosmetics, as well as in traditional crafts and cottage industries. Globally, vocational skills development approaches exist in formal settings (see, for example, the dual modes of training method, the national qualification frameworks and the competence-based training) and in informal ones (see, for example, the experience of the traditional apprentice). Despite having been overlooked in many developing countries, technical and vocational education and training has increasingly gained significance in the development of human capital development strategies:

(a) **African Union**. Technical and vocational education and training is one of the six areas of focus of the plan of action for the Second Decade of Education for Africa (2006-2015), in the context of which the African Union advocated the development of vocational skills as part of an economic growth strategy for Africa, and called for greater integration between post-primary education and training systems;

(b) **China**. As detailed by Yu Zuguang and Zhou Fenghua in their overview of China's vocational education reform, the Government launched a major programme to enhance its technical and vocational education and training. That included the following measures: the investment of ¥10 billion from 2006 to 2010 in secondary vocational schools, technical colleges and internships; the allocation of ¥500 million from 2006 to 2010 to train teaching staff; the expansion of enrolment at secondary vocational schools and technical colleges; the provision of financial support to 90 per cent of enrolled students enrolled; the provision of free technical and vocational education and training for students from poor rural and urban families and those enrolled in agriculture-related specializations;

(c) **India**. The Government started a skills development initiative scheme in 2007 with the objective of training 1 million persons through short-term modular courses over five years at a cost of Rs 5.5 billion and then 1 million every year thereafter. In addition, the Indira Gandhi National Open University has undertaken skills development initiatives by establishing the School of Vocational Education and Training;

(d) **Colombia**. The Tutorial Learning System provides high-quality secondary education to rural populations with little or no access to traditional secondary education, emphasizing community development, entrepreneurship and sustainable agriculture.

34. It is estimated that, on average, two thirds of the population in most developing countries work in jobs that require vocational education and training. Some challenges remain. The first is the perception that technical and vocational education and training is for those with a low level of academic achievement. The

second is associated with costs, as the provision of technical and vocational skills is expensive. The third is that instructors need to ensure that their teaching methods are adapted to the various vocational training opportunities available.

Securing funding for investment in human capital

35. Investment in human capital is a basic and strategic move that has great bearing on long-term development. In times of financial constraints, countries endeavour to explore innovative ways of sustaining the necessary levels of resources. Examples of innovative approaches adopted in China and India are set out below:

(a) China has specified that it aims to invest 13 per cent of GDP in 2015 and 15 per cent of GDP in 2020 in human capital. The Government would levy an education surcharge equal to 3 per cent of either value added tax, business operation tax or consumption tax, whenever that tax is applicable. The education surcharge would then be reinvested into education. The Government of China makes clear that the budget for major national research projects will include a budgetary item for training. In the meantime, the Government has achieved its goal of spending 4 per cent of GDP on education by 2012;

(b) India has more than doubled the amount of funds it allocates for skills development under the National Skills Development Fund from Rs 10 billion, to Rs 25 billion.

36. For many developing countries, particularly those in Sub-Saharan Africa, international aid in education and technical and vocational education and training represents a large portion of their human capital development funding. As the total aid they received decreased in real terms in 2011, the situation is worrying and demands greater attention. Developed countries need to live up to the promise made to allocate 0.7 per cent of their GDP to official development assistance.

Tapping the potential of the informal sector

37. The informal sector has emerged as a reality and has to be recognized for policy purposes. Workers and economic units in the informal economy have a large entrepreneurial potential. The informal economy could also serve as an incubator for businesses and an opportunity for on-the-job skills acquisition. Improved technical and business skills are of prime importance for enhancing the productivity of informal sector activities. The following are examples of measures taken by some States:

(a) **Benin, Mali and Togo**. Innovative approaches have been adopted to develop traditional apprenticeship into a structured and competitive post-primary vocational training system capable of providing skills training and qualifications for young people;

(b) **India**. The urgent need to address the challenges of the informal economy has led the Government to provide technical and entrepreneurial skills to workers in the informal sector through a national vocational training system;

(c) **Kenya**. The Government established the Jua Kali voucher programme, which expanded the supply of training to workers in the informal sector and helped to lower training costs.[7]

38. Because it is unstable, the informal sector is unlikely to offer training (any long-term investment would be unviable). Most school leavers, especially early school leavers, make a living as self-employed workers in the informal economy. With little access to formal vocational training, the vast majority of them resort to makeshift mechanisms (on-the-job training, self-training or traditional apprenticeships). Governments should continue to explore ways of supporting the development of skills in the informal sector.

Enhancing research and development in human capacity

39. Globalization has resulted in a tremendous acceleration in the pace of technological innovation. Enhancing human capacity in research and development is a task of strategic importance, and one that needs to be high on national human capital development agendas. Many developing nations have undertaken major initiatives, including the following:

(a) **United Republic of Tanzania**. The Ministry of Science, Technology and Higher Education embodies the vision that higher education and training in science and technology are key to developing human resources for economic growth;

(b) **Uganda**. The Millennium Science Initiative of the World Bank finances high-quality research, undergraduate science and engineering programmes, academia-private sector partnerships, student internships, science and policy, and efforts to integrate science in schools and communities. Its objective is to increase and retain a pool of professionals with high levels of training in science and engineering relevant to the country's development needs;

(c) **China**. Measures are being taken to attract talented expatriates, particularly scientists, engineers and scholars, among others, to work in China. One set of measures is related to basic working and livelihood conditions, such as facilitating access to residence permits, offering tax breaks, free life insurance, favourable housing conditions and good quality schooling for children and assisting spouses in finding employment. The second set of measures is related to career development. Talented workers from overseas can assume leadership positions in Government institutions, participate in the formulation of national standards in their professional area, participate in major national research and development projects and assume important roles and start their own business in high-technology areas and business incubators under favourable policies. The third set of measures is related to material incentives. Incentives extended to research and development personnel include higher salaries, bonus stock, stock options, stock futures and profit-sharing arrangements.

40. In addition, through its Strategy for Higher Education, Science and Technology (2008), the African Development Bank supports strengthening national and regional centres of excellence in science and technology, building and rehabilitating existing science and technology infrastructure and linking the Strategy

[7] Arvil V. Adams, "Skills development in the informal sector of sub-Saharan Africa" (World Bank, 2008).

to the productive sectors. Through its Human Capital Development Strategy (2012-2016), the Bank reaffirmed its commitment to higher education, science and technology and its support for scientific research and innovation in biotechnology, engineering and information and communications technology.

41. The speed at which progress is being made with regard to science and technology makes it all the more urgent for developing countries to build their own forces of scientists and engineers to manage the acquisition, absorption and diffusion of technological innovation relevant to development. Recently, taking advantage of the science and technology diasporas has become popular in developing countries. However, research suggests that the sustainability and effectiveness of this approach remains to be proved.[1] International organizations, especially United Nations agencies, can play a critical role in promoting human capital development with a view to achieving economic growth and development goals.

III. Reporting, monitoring and evaluation of publicly funded projects, service delivery and Government performance

42. In many countries, performance evaluations all too often relate to outputs rather than to outcomes, and the absence of initial benchmarks and a clear set of targets against which performance can be measured can stymie the process. Further, a poor identification of the existing environmental and administrative factors (e.g. poor infrastructure, inadequate assessment of risk and multiple decisions-making) points to the lack of frameworks for adequate coordination and communication, leading to fuzziness with regard to who is responsible for what, which makes performance evaluation a difficult task. Inadequate attention to the issues related to performance monitoring and evaluation at the stage of policy formulation muddies the waters further.

43. Broadly speaking, the current systems of accountability for results are flawed by:

(a) Fragmentation of institutional responsibility for performance management: departments are often required to report to multiple principals with diverse objectives that may not be consistent across different authorities and are often characterized by fractured responsibilities, in other words, implementation of and accountability for results is diluted because an initiative is being led by numerous departments or ministries without a proper mechanism for accountability or coordination;

(b) Selective coverage by some systems, making performance management and evaluation an incomplete exercise;

(c) Significant time lags in performance reporting so that by the time the reports are available, the contexts (e.g. the issues facing the institutions) have changed.

44. Another challenge that is often encountered relates to the "silos mentality" of administrative departments, which undermines genuine team efforts. An aspect that assumes greater importance in federal constitutions than in unitary constitutions is the need for greater coordination between federal, state and local bodies. This is further compounded by the need to ensure coordination between autonomous public

sector institutions. In instances where projects are undertaken with the help of external agencies, coordination can get further complicated.

45. All too often, where planning is divorced from considerations of implementation and the laying down of monitoring and evaluation standards, it becomes difficult to carry out monitoring and evaluation activities. Poor attention to any synergy that may exist between different activities (e.g. supply of safe drinking water and improvements in health) and that could have a bearing on the success of different projects as individually measured is another aspect that makes it hard to carry out performance monitoring and evaluation activities.

Key challenges

46. Given the above, the key challenges in performance monitoring and evaluation are:

(a) Output-oriented rather than outcome-oriented indicators in evaluating performance;

(b) A silos mentality in departments, which prevents workers from engaging in genuine team efforts and from doing their work in a timely manner;

(c) Lack of adequate teamwork between central and state governments and local bodies in federal structures;

(d) Lack of adequate communication between main actors, for example, governments, citizens, autonomous public sector institutions, external funding agencies and clients of governments;

(e) Need for a well-understood process and well-laid out road maps for bringing about change in performance management, including:

(i) Initial assessment of performance in a well-understood framework;

(ii) Inadequate identification of the existing environmental factors that prevent better performance: for example, making multiple and contradictory pronouncements and giving multiple and contradictory directions to departments, and having multiple principals, which leads to fuzziness in terms of responsibility and confusion when it comes to understanding the goals to be achieved;

(f) The tendency to "pass the 'buck" for non-delivery;

(g) Separation of planning from implementation;

(h) Lack of a vigorous evaluation of policies at the policy stage and a tendency to not treat implementation as an important consideration;

(i) The need to distinguish implementation or management failure from policy failure;

(j) Superimposition of monitoring and evaluation processes on existing organization-specific systems that evolved in the past without adequate attention being paid to the changes required when integrating the new processes into the existing organizational architecture;

(k) Lack of adequate integration of the monitoring and evaluation processes at the initial planning and budgeting stages (South Africa is reputed to have been more successful in this sense);

(l) The need to go beyond monitoring performance to evaluating outcomes (as Uganda seems to have done with regard to its poverty eradication plan);

(m) Data vary from country to country and baseline information is often not available;

(n) The need to consider whether to choose a decentralized or a national direction when it comes to formulation and implementation on the one hand, and to monitoring and evaluation on the other hand;

(o) Fragmented institutional responsibilities (owing, for example, to the existence of multiple principals and objectives), poor incentives for better performance and poor and delayed feedback on evaluation outcomes;

(p) Absence of performance agreements between the minister and the secretary of a department that would provide physical, verifiable targets;

(q) Inadequate attention to the potential of information technology in performance monitoring and evaluation, which requires capacity-building and systems integration;

(r) Inadequate attention to the development of statistical standards, which is often an important precondition for planning, monitoring and evaluation;

(s) Absence of an appropriate human resources management system, which will lead to the ineffective utilization of the available human resources; the key concerns that need to be addressed in this regard are:

(i) Incentive system: It is important that an appropriate incentive system be created for rewarding good performance and punishing non-performers;

(ii) Clarifying accountability: New accountability mechanisms will be effective only if they have legal validity.

47. Performance assessments and the evaluation of outputs or outcomes, however, cannot always be fully accomplished without some quality assessment having been made on the basis of intelligent observation by individuals and agencies and of field studies involving conversations with communities at the ground level. No amount of data can substitute an honest assessment of the outcomes of publicly funded projects and delivery of services by intelligent observers (see, for example, the report by Daniel Thorner on the impact of the green revolution in India in the 1960s); or, for that matter, commentary in the press that is known for its objectivity and proper investigation. No amount of formal records can substitute for intelligent observation of this kind.

Initiatives and best practices

48. The following paragraphs provide some examples of practices adopted in performance monitoring and evaluation.

India

49. In recognition of the importance of performance monitoring and evaluation, in the 1950s India established a programme evaluation division within its Planning Commission that was chaired by the Prime Minister. The division functioned at one remove from other Government departments and carried the responsibility for monitoring performance and evaluation at the national level (but also at the state level, where federal funding was also involved). While the programme evaluation division has provided considerable feedback over the years, there has been a growing recognition that India needs to overcome the challenges and lacunae in planning through performance monitoring and evaluation.

Results framework document

50. Building on experience, the Government of India has introduced results framework documents as a central tool for planning, monitoring and evaluation. The main features of the documents are the following:[8]

(a) Eighty departments and ministries and 800 responsibility centres in the Government of India are required to prepare such documents;

(b) The results framework documents represent an understanding between the minister and the secretary of a department regarding its vision, mission, objectives, priorities, success indicators and targets for the year;

(c) Following the adoption of the results framework documents, performance monitoring and evaluation is undertaken within the agreed time frames set out in the respective documents and graded on a scale from "excellent" to "poor";

(d) A department's performance is measured by considering all relevant variables (financial, physical, quantitative and qualitative, and in terms of efficiency).

51. The aim is to focus on variables that are within the control of the department being monitored and evaluated.

52. The merits of the results framework document system are the following:

(a) It introduces explicit prioritization by giving weights to objectives and performance indicators;

(b) In place of evaluating against a single point target, it evaluates success against a range (e.g. if the target is building 15,000 km of road but the achievement is 14,500 km, how do we judge it?); it allows for deviations with appropriate weights.

53. In conjunction with the above, an incentive system for better performance is also being pursued. The elements of this incentive system include:

(a) Variable increments for rewarding better performance;

[8] Prajapati Trivedi, "Indian experience with the performance monitoring and evaluation system for Government departments", presented at the Second International Conference on National Evaluation Capacities, Johannesburg, South Africa, 12-14 September 2011.

(b) Extra increments in salary for exceptionally good performance (as recommended by the Fifth Pay Commission of India) and the denial of normal increments for exceptionally poor performance;

(c) Redesigning performance appraisal systems, taking into account their efficacy (e.g. to avoid every civil servant getting the same performance assessment because the supervising officers wish to avoid trouble).

Civil society initiatives in performance management in government[9]

54. While the focus of the present paper is on performance management mechanisms in government, it is worth looking at a few groundbreaking accountability tools developed by civil society that can be helpful in improving performance management:

(a) **Citizen's report cards**. These report cards are surveys that solicit user feedback on the performance of public services to enhance public accountability. The scores reflect the quality of the performance of public service providers based on feedback provided by citizens. Citizen report cards have the potential to evolve as a tool in support of performance management;

(b) **Community score cards**. These are a community-based monitoring tool that combines social audits and citizen reports to promote social and public accountability and responsiveness from service providers. The fact that citizens are empowered to provide immediate feedback to service providers facilitates community monitoring and performance evaluation of services and projects of local federal government agencies;

(c) **Social audits**. These are a mandatory process whereby records are opened up by government officials or elected representatives for public scrutiny with a view to increasing transparency. Social audits are required for the programmes delivered under the National Rural Employment Guarantee Act, which is mandated to provide 100 person days of employment to every person in rural areas who has no other livelihood sources and for the services delivered under the aegis of the National Rural Health Mission.

Experiences of selected developing countries

Singapore

55. Singapore has an incentive system that aims to improve the performance of all ministries and the economy as a whole. In line with the system, ministers and civil servants are remunerated on the basis of a fixed component and a variable component, with the latter being linked to the following variables:[10]

(a) Median income growth rate in real terms;

(b) Growth rate of income of the lowest 20 percentile earners;

(c) Unemployment rate;

(d) Rate of GDP growth.

[9] India, Department of Administrative Reforms and Public Grievances, "Performance management in Government" (Centre for Good Governance, 2009).

[10] Singapore, "Salaries for a capable and committed government" (Singapore, 10 January 2012).

South Africa[11]

56. Post-apartheid South Africa is faced with a challenging environment as it tries to reposition itself in the pursuit of equity and social justice for each citizen. In responding to this immense challenge, the Government has taken a number of steps to track and improve its performance, including by:

(a) Developing links between strategic and performance management;

(b) Creating the Department of Performance Monitoring and Evaluation in the Office of the President, in 2009;

(c) Reporting on service delivery using a system of 32 indicators;

(d) Establishing an innovative system that tracks human resources indicators in government services (such as turnover and vacancy rates, leave trends and termination of employment) as a means of improving performance;

(e) Reviewing the quality of data and taking steps to establish an architecture for performance monitoring and evaluation that includes:

(i) The creation of the Department of Performance Monitoring and Evaluation in the Office of the President in 2009;

(ii) An early warning system on bottlenecks;

(iii) Performance agreements between the President and the political principals;

(iv) Institutionalization of regular meetings of officials through the Forum of South African Directors-General (this does not include the participation of Governments).

Uganda[12]

57. Uganda has established an integrated national monitoring and evaluation mechanism in pursuit of poverty eradication. The poverty eradication action plans have constituted the overarching policy framework for achieving economic development in Uganda since 1997 and the country's main strategy framework for achieving the Millennium Development Goals. Thus, monitoring and performance indicators are built into the planning and governance framework.

Experiences of selected industrialized countries

58. The challenges posed by performance management and evaluation tend to be qualitatively different in industrialized countries than in developing or newly independent countries because the former are better endowed with human and material resources and have well-established conventions or practices with regard to administration and human resources. However, industrialized countries face the challenge of improving their own governance through the adoption of better systems

[11] Ronette Engela and Tania Ajam, "Implementing a Government-wide monitoring and evaluation system in South Africa", *ECD Working Paper Series No. 21* (Washington, D.C., World Bank, July 2010).

[12] Uganda, Ministry of Finance, Planning and Economic Development, "Uganda national report for the implementation of the Programme of Action for the Least Developed Countries for the Decade 2001-2010" (January 2010).

for monitoring and evaluation, as is evident by the eruption of the global economic crisis that has engulfed the richer world in recent years, spurring the need for more effective action in this regard. Some of the steps that have been taken both before and after the economic crisis in this regard include:

(a) **United Kingdom**. Public service agreements set out the aims and objectives of the departments of the Government of the United Kingdom for a three-year period. Such agreements also describe how targets will be achieved and how performance against these targets will be measured. An agreement may consist of a departmental aim, a set of objectives and targets and details of who is responsible for delivery;

(b) **United States of America**. The Government Performance Results Act of 1993 requires the President of the United States to sign a performance agreement with the members of his or her cabinet. The Act requires agencies to engage in project management tasks such as setting goals, measuring results and reporting on progress made.

59. In large parts of the industrialized world, steps are being taken to bring the public debt under control, align monetary and fiscal policies and regulate banks through the adoption of better management and monitoring standards (see, for example, the Third Basel Accord) and devising mechanisms for coordinated action requiring closer analysis and more regular reporting of performance and evaluation based on better standards. Devising and implementing more robust performance and evaluation standards can, on one level, pose even deeper challenges in industrialized than in developing countries because the former countries tend to be more integrated in the world economy through financial and trade links and competition for skills. Taking effective action at the national level can prove to be quite challenging.

IV. Role of the United Nations system in promoting human capital development within the framework of the post-2015 development agenda

60. Human resources development has long been on the United Nations development agenda. The five interacting components that were seen as major building blocks for effective human resources development two decades ago continue to be relevant in today's globalized world (see A/48/364, para. 5):

(a) Promoting lifelong acquisition of knowledge, skills and competencies;

(b) Facilitating the application of knowledge, skills and competencies;

(c) Improving access to assets (such as land, shelter, capital and information);

(d) Sustaining human resources through policies and regulatory mechanisms;

(e) Ensuring a modicum of the sense of individual, local and national security: peaceful political and favourable national and international economic conditions.

61. During the sixty-sixth session of the General Assembly, the Secretary-General submitted a report containing information on lessons learned from the global financial and economic crisis on the requirements for human resources development to help countries prevent and overcome the negative effects of crises and to progress towards a more sustainable path of development. Several recommendations building

on successful national experiences were put forward in the report. Specifically, it was recommended that Governments better align education and training systems and labour market needs, upgrade human skills, strengthen social protection systems and dedicate more official development aid to human resources development, among other steps (see A/66/206, para. 82).

62. The United Nations can provide guidance and advice, including on the establishment of relevant institutions and the application of the relevant legislation. The United Nations Public Administration Network can facilitate mutual learning among Governments and international, regional and national institutions for human capital development.

63. United Nations agencies such as the International Labour Organization, UNESCO and the United Nations Industrial Development Organization provide human capital development assistance in their focus areas, with programmes and activities ranging from technical training to capacity-building and infrastructure support. The United Nations could play a role in coordinating these activities to make the assistance more relevant and efficient.

Conclusions

64. Human capital development continues to pose challenges to developing countries as they make efforts to raise the overall level of education of their population, increase productivity and strengthen human capacity.

65. Economic development is crucial for improving overall human capital competitiveness. Broad national consensus needs to be achieved in developing countries with regard to making sustainable economic development the top priority, as economic growth can be achieved only in an environment where external peace and internal stability are sustained.

66. Developing countries need to develop their own human capital development strategies to achieve their development goals. There are marked differences in social background and natural endowment among developing countries and, naturally, there is no one-size-fits-all solution to human capital development challenges. The following broad points should be observed for developing countries:

(a) Human capital development strategies should be developed in line with the national economic and social development agenda;

(b) The goal or strategy should be to build indigenous human capital capacities through innovative approaches;

(c) A gender-sensitive perspective should be brought to the analysis and design of human capital development strategies;

(d) In developing a strategy, Governments should consult with social partners, including business, labour and professional organizations;

(e) Governments should draw on international experiences;

(f) There should be a time frame for the implementation of the strategy;

(g) There should be a functional assessment and evaluation mechanism in place.

67. In general, the success of monitoring and evaluation processes will crucially depend not only on technical and human capacities but also on the political will, which in turn might depend upon the importance of democratic mandates for governance. As the findings of the present paper indicate, a greater effort by Governments to go beyond the technical frameworks of performance monitoring and evaluation is needed if governance for results is to become an effective tool.

68. In part, governments perform poorly because they are so complex. This can be addressed to some extent through downsizing by consolidating mandates.

69. In the drive to improve performance monitoring and evaluation, the need or scope for systemic reforms (for example, new modes of delivery such as public-private partnerships, the decentralization of government, etc.) should not be forgotten. The scope for innovative modes of governance should be part of the wider discussion on the performance evaluation of governments.

70. As indicated in the present paper, there have been several successful examples of performance monitoring and evaluation in different parts of the world and there is much that countries could learn from each other by tracking and internalizing these examples through training and by creating the necessary capacities in their respective countries. As is widely recognized, performance management and evaluation is essentially a political — rather than a bureaucratic — act that requires political commitment and the devising of a system of incentives for monitoring and evaluation that focuses on outcomes rather than on outputs, as well as the capacity to take follow-up action effectively, with an open mind and keeping the citizen at the centre of attention. The varied experience of different countries in this regard provides an opportunity to replicate what is successful, mindful of the varied historical situations and the human and other resources constraints that individual countries face.

71. The United Nations and the other multilateral institutions can play a significant catalytic and technical assistance role in taking it forward. In support of the framework for the post-2015 development agenda, it is necessary to promote what is good and minimize the negative.

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Review of the United Nations Programme in Public Administration

Review of the United Nations Programme in Public Administration

Report of the Secretariat

Summary

The present report highlights the major activities undertaken by the Secretariat in 2012 under the United Nations Programme in Public Administration and Finance. It also sets out the scope of activities for the period 2014-2015. The Committee of Experts on Public Administration is invited to review and provide feedback to the Secretariat on those activities, which are intended to assist national and local governments in addressing their current public governance and administration challenges as well as the emerging issues in a globalized world.

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I. Introduction

1. The Division for Public Administration and Development Management of the Department of Economic and Social Affairs is the principal entity within the Secretariat mandated to implement the United Nations Programme in Public Administration and Finance. It assists the Member States of the United Nations in fostering efficient, effective, inclusive, transparent, accountable, clean and citizen-centred public governance, administration and services through innovation and technology to achieve the internationally agreed development goals, including the Millennium Development Goals.

2. The present report highlights the major activities undertaken by the Secretariat in 2012 under the Programme for review by the Committee of Experts on Public Administration.

3. The report also sets out the scope of activities to be implemented for the period 2014-2015. The Committee is requested to review and provide feedback to the Secretariat on these activities, which are intended to assist Governments in addressing their current public governance and administration challenges and the emerging issues in a globalized world.

II. Major activities in 2012

4. The activities of the United Nations Secretariat in the area of public administration are implemented under subprogramme 8, Public administration and development management, of section 9, Economic and social affairs, of the United Nations programme budget, by the Division for Public Administration and Development Management, with particular regard to the needs of Member States that have requested assistance and of developing countries, especially the least developed, post-conflict or post-crisis countries, and countries with economies in transition. A summary of the major activities implemented in 2012 is provided below.

A. Servicing of intergovernmental and expert bodies

General Assembly and Economic and Social Council

5. The mandates of the Division are defined by resolutions and decisions adopted by the General Assembly and the Economic and Social Council, inter alia, those pertaining to public administration, information and communications technologies for development and further implementation of the outcomes of the World Summit on the Information Society and Millennium Summit (Economic and Social Council resolutions 2012/28 and 2012/5 and General Assembly resolution 65/1, respectively).

6. In its resolution 67/195 on information and communications technologies for development, the General Assembly acknowledged the positive trends in global information and communications technologies (ICTs) and new services and applications, including e-government. In addition, it also stressed the important role of Governments in the design of their national public policies and in the provision of public services responsive to national needs and priorities through, inter alia, the

effective use of ICTs, including on the basis of a multi-stakeholder approach, to support national development efforts. It also recognized the importance of the Internet Governance Forum as a forum for multi-stakeholder dialogue on various matters, including public policy issues related to key elements of Internet governance and its role in building partnerships among different stakeholders, including through national and regional initiatives. In the same resolution, the Assembly took note of the report of the Working Group on Improvements to the Internet Governance Forum, and requested the Secretary-General to submit, as part of his annual reporting, information on the progress made in the implementation of and follow-up to the outcomes of the World Summit on the Information Society, particularly on enhancing participation from developing countries.

7. In the outcome document of the High-level Plenary Meeting of the General Assembly on the Millennium Development Goals, world leaders requested the Secretary-General to make recommendations to advance the United Nations development agenda beyond 2015 (General Assembly resolution 65/1, para. 81). With this in mind, in 2012 the Division has been serving as a focal point as part of the United Nations task team on governance issues in the preparation process of the post-2015 development framework.

Committee of Experts on Public Administration

8. The Division provided substantive and administrative services to the Committee of Experts on Public Administration at its eleventh session, which was held at United Nations Headquarters from 16 to 20 April 2012. The main theme of the meeting was "Local public governance and administration for results". In the context of results-based governance, the subthemes covered during the session were: (a) intergovernmental governance and regimes; (b) public service capacity-building for local-level development; and (c) transparency, accountability and citizens' engagement (see www.unpan.org/cepa).

9. As a result, the Economic and Social Council adopted resolution 2012/28, as proposed by the Committee, which, among others, reaffirmed that good governance and the rule of law at the national and international levels are essential for sustained, inclusive and equitable economic growth, sustainable development and the eradication of poverty and hunger; and invited the Committee to study the effect of specific practices in responsive and inclusive public governance on development, bearing in mind the need to promote high standards of public sector integrity, transparency, accountability, efficiency and effectiveness, at the national and local levels, promote equal access to public services and provide opportunities for all people to participate in the conduct of public affairs, with a view to assisting the process of preparing for deliberations on a post-2015 development agenda.

B. Analytical research

United Nations public administration country studies

10. In further support of the efforts of Member States to improve performance in public administration, development management and e-governance, the Division continues working on the development of the United Nations public administration country studies to underpin the importance of public sector reform initiatives. The United Nations public administration country studies serve to assist Governments in

making evidence-based decisions by providing country data and global views on conventional and emerging topics related to governance and public administration, thereby assisting countries in fostering efficient, effective, transparent, accountable, clean and citizen-centred public governance and administration for the accelerated achievement of the Millennium Development Goals and the internationally agreed development agenda.

11. In 2012, the Division commenced on the substantive work of United Nations public administration country studies after a prolonged period of staff training and technical development of the online platform, particularly in the following thematic areas as the first phase of development:

(a) Codes of conduct, ethics or equivalents at the national level;

(b) National strategies and policies on e-government;

(c) Chief information officers or equivalents at the national level;

(d) e-government development index and e-participation index;

(e) Legal framework and institutions on citizen engagement in public affairs;

(f) Open government data management to ensure transparency and accountability.

United Nations e-Government Survey

12. The flagship publication of the Division is the *United Nations e-Government Survey*, which assesses all 193 Member States with respect to their e-government development and the extent of e-participation (see www.unpan.org/e-government). The reports of the past surveys provided time-series data and an analysis of trends in e-government readiness and development across regions and at the country level, and have become the global benchmark for measuring e-government development.

13. The *United Nations e-Government Survey 2012: e-Government for the People* was launched in early 2012. The sixth in the series, the Survey sheds light on the global state of e-government development and provides options on how best to move forward. While continuing to provide the United Nations e-government development rankings for 2012, the 2012 Survey was prepared in a context of multiple challenges of promoting an open, responsive and collaborative government for the people. The Survey finds that many Member States have put in place e-government initiatives and information and communications technologies applications to further enhance public sector efficiencies and streamline governance systems. Among leading e-government countries, innovative technology solutions have gained special recognition as a means of integrating public services in support of sustainable development.

14. The overall conclusion that emerged from the 2012 Survey is that in today's economic climate, it is important to continue to enhance public service delivery by increasingly thinking in terms of e-government. Greater emphasis needs to be placed on linkages among and within institutions to create synergy for inclusive sustainable development. An important aspect of this approach is to widen the scope of ICT applications in the public sector in order to transform government processes and institutions into a cohesive, coordinated, and integrated structure that underpins national and local sustainable development objectives.

15. The report argued that increasing usage can help to reduce the e-service usage divide within countries and foster socially inclusive development, while open data presents opportunities for citizens to freely use, re-use and integrate various sustainable development-related datasets.

16. The Division, in partnership with the Economic Commission for Africa (ECA), the International Telecommunication Union (ITU) and the Economic Commission for Latin America and the Caribbean (ECLAC) published "Measuring ICT for development", which was submitted to the United Nations Statistical Commission at its forty-third session in March 2012 and included a list of globally comparative e-government core indicators. The Commission fully endorsed the set of the indicators and requested that the review of the indicators, in the light of rapid technological advances and widespread use of ICT, be continued.

17. In 2012, several references were made to the Survey through the international publications of institutions, including the Economist Intelligence Unit, the World Economic Forum, the World Bank, the Organization for Economic Cooperation and Development, and the global management and strategy consulting firm Booz & Company.

Expert group meetings

18. In 2012, the Division conducted three expert group meetings to expound on new developments and emerging trends in governance and public administration. The meetings provided forums at which expert knowledge and experience were mobilized to identify critical issues, and the consensus on policy options began to be forged. The three reports on the expert group meetings are entitled: (a) "Preventing corruption in public administration: citizen engagement for improved transparency and accountability"; (b) "Citizen engagement and the post-2015 development agenda"; and (c) "United Nations e-Government Survey 2014: e-Government as an enabler for collaborative governance".

19. During an expert group meeting on the theme "Preventing corruption in public administration: citizen engagement for improved transparency and accountability", the causes and consequences of corruption in public sector institutions and its impact on development as well as the effectiveness of public sector institutional arrangements for preventing corruption and engaging citizens in anti-corruption initiatives were discussed. The meeting was held from 25 to 28 June 2012.

20. An expert group meeting on the theme "Citizen engagement and the post-2015 development agenda", in collaboration with the Economic and Social Commission for Western Asia (ESCWA) was held on 3 and 4 December 2012. The participants discussed the imperatives for and challenges to engaging citizens in public administration and governance, drawing from expertise and notable cases of citizen engagement globally.

21. An expert group meeting on the topic "United Nations e-Government Survey 2014: e-Government as an enabler for collaborative governance", was held on 4 and 5 December 2012. The meeting provided a platform for experts to exchange views on emerging issues and trends and to formulate recommendations for assessing progress in the six thematic areas of the Survey, namely: (a) whole-of-government approaches; (b) e-participation; (c) expanding usage; (d) bridging the digital

divide/vulnerable groups; (e) open government data; and (f) multichannel service delivery.

C. Knowledge-sharing and training

22. The United Nations Public Administration Network (www.unpan.org) is an online network of 28 relevant international and regional institutions and United Nations system agencies. In 2012, the Network served as the de facto global network and portal for public administration and governance. From 2011 to 2012, there was an increase of 16.5 per cent on content downloads through the Network.

23. The UNPAN Online Training Centre delivers capacity-building courses on various public administration topics (see www.unpan.org/elearning). In 2012, the Centre delivered, free of charge, 36 online courses covering various topics on electronic and mobile government, institution and human resources management in public administration, knowledge management in government and the Millennium Development Goals. The courses are aimed at practitioners, including community leaders, responsible for the formulation and implementation of development policies and programmes, and scholars and students of public administration.

24. In 2012, the Centre added a new course entitled "Strategic intelligence". The course covers topics in intelligent research networks and next-generation knowledge management, the importance of transferring information from one generation to the next, pillars of knowledge retention, and trends in social networking. The course was developed in collaboration with the Graduate School of Management and Technology, University of Maryland.

25. During 2012, the Centre's interactive courses were delivered to 719 participants from around the world. The most popular course was on principles of e-government, followed by courses on human resources managers' capacity-development, and knowledge management in government organizations.

26. The Measurement and Evaluation Tool for e-Government Readiness (METER) is a ready-to-use interactive web-based tool aiming to assist governments to monitor and identify areas for further development within the national e-government environment. A sixth pillar on marketing has been added as a result of inputs from the Member States. In addition, the content of METER has been translated into French and Spanish and is pending technical implementation, in cooperation with IBM. Saudi Arabia became the latest Member State to undertake the METER workshop and obtain a better understanding of the strengths and challenges that exist in e-government. Currently in its version 2.5, METER has been used by officials from many countries in assessing areas for further e-government development, including Bahrain, Brunei Darussalam, Iraq, Morocco, Qatar, Saudi Arabia and Singapore. A version 3.0 is planned for 2013 with a seventh pillar on Web 2.0 and social networking.

27. The Reconstructing Public Administration after Conflict toolkit was prepared in consultation with members of the Committee of Experts on Public Administration to provide policymakers, practitioners and experts at the national and international levels with a tool that can guide the reconstruction of public administration after conflict from a process-oriented and long-term perspective. The toolkit is currently

being used as the basis for online training courses on reconstructing public administration after conflict.

28. The Division is developing an open government data toolkit, which is a part of online government services and an important initiative to strengthen participatory governance. The toolkit is designed as a practical and easy-to-follow guideline for policymakers and technologists to understand, design, implement and sustain open government data initiatives, especially to address the needs and constraints of developing countries. It contains the core principles of openness, best practices and case studies, checklists, step-by-step guidelines and practical policy recommendations.

29. Volume IV of the *Compendium of Innovative E-government Practices* was published in 2012. This publication contains a compilation of case studies of innovative e-government solutions, services and applications with elements of transferability and adaptability. The cases of all volumes are available and searchable through the online database established within the United Nations Public Administration Network.

30. The *Compendium of ICT Applications on Electronic Government Volume III* was also published in 2012. This volume focuses on m-technology software products and applications in the areas of citizen engagement that are being used in both developed and developing countries. All the cases are available in the e-library of the Division (www.unpan.org/publications).

- **Capacity-building workshops**

31. A capacity-building workshop entitled "Future government: a global perspective in connection to open government data and citizen engagement", organized by the Division and the ITU, was held in Switzerland in May 2012. The workshop focused on capacity-building on strengthening policy and programme formulation and implementation and the evaluation of open government data initiatives. It also facilitated an understanding of the value created for governments, citizens, civil society, and the business community by opening government data.

32. In conjunction with the United Nations Public Service Awards in June 2012, four parallel capacity-development workshops were held, at which experts presented in the areas of: (a) institutions and leadership capacities to engage citizens in service delivery; (b) preventing corruption in public administration: citizen engagement for improved transparency and accountability; (c) e-government: from policy to practice; and (d) the dividends of women in the frontline of service delivery (in collaboration with the United Nations Entity on Gender Equality and the Empowerment of Women (UN-Women)). The outcomes of the workshops informed a ministerial round table and intergenerational dialogue of concrete recommendations on how to improve on public service delivery through collaborative government approaches.

33. The Division and the Government of Mexico organized a high-level panel during the 2012 International Congress of International Institute of Administrative Sciences, in June. The panel, which included recognized universities and members of the Committee of Experts on Public Administration, focused on the role of public administration in the development and implementation of the Millennium Development Goals through social policies.

34. A capacity-building workshop, entitled "Next stage in open government data: using data for transparency, accountability and collaboration", was held in South Africa in October 2012. The workshop aimed to build capacities on open data, especially in creating an open data ecosystem, sustaining community engagement, communication and feedback with stakeholders.

35. The Division jointly organized a capacity-development workshop on the theme "Harnessing diversity in the African public services: exploring policies and strategies to enhance inclusion and performance" with the United Nations Development Programme (UNDP) Regional Bureau for Africa, ECA and the Africa Public Sector Human Resources Managers' Network in Botswana in October 2012. It provided an opportunity for public service managers in Africa to discuss the effective management of diversity and inclusion so as to improve the performance of public service in Africa as well as to contribute its discussion to the Eighth African Governance Forum, with the theme "Democracy, elections and the management of diversity in Africa."

36. A capacity-development workshop for human resource managers in Africa was conducted in collaboration with the African Association for Public Administration and Management and the Africa Public Sector Human Resources Managers' Network on the theme "Strengthening human resource managers' capacities in Africa's public service for effective performance management and service delivery". It took place in Zanzibar, United Republic of Tanzania, in November 2012. Participants called upon countries to consider the implementation of performance management as a key driver for reform in the public sector towards realizing development goals, including the Millennium Development Goals.

37. A capacity-building workshop entitled "Citizen engagement and the post-2015 development agenda" was held in Lebanon in December 2012. It was co-organized with ESCWA and brought together 35 local senior government officials from the Middle East and North Africa region, representatives of economic and social councils, officials from international and civil society organizations, including the private sector, research institutions, youth and women organizations and other development stakeholders having significant direct experience or deep knowledge on the engagement of citizens in the region. The ESCWA Emerging and Conflict Related Issues Division requested the continued collaboration of the Division for Public Administration and Development Management in providing analytical and technical expertise to countries in the Arab region to support their institutional and governance reform efforts.

D. Advocacy and partnership-building

38. One of the core focuses of the Division is to facilitate dialogue, improve the accessibility of information and knowledge-sharing, and promote partnership-building among international, regional and national institutions, including public, private, academic and non-profit organizations, through the United Nations Public Administration Network and the United Nations Public Service Awards and Public Service Day. Inter-branch and inter-agency collaboration was particularly encouraged to deliver integrated and cohesive activities, services and products through inter-branch teams and systematic planning and implementation mechanisms and by strengthening networks such as the United Nations Public

Administration Network and the cluster on governance and institution-building under the Executive Committee on Economic and Social Affairs.

39. ESCWA requested the Division's support to assist Member States in the region, especially in e-government readiness. Both ESCWA and the Division have agreed to develop close cooperation and collaboration.

40. The Division continued strengthening its partnership with international institutions and other stakeholders to develop a coherent e-government support mechanism, which includes: a partnership with the Government of Colombia for e-government development in Latin America, partnership with multilateral development banks for e-procurement; and a partnership with several universities to develop the United Nations e-Government Survey, as well as with Boston University to provide training for chief information officers and senior e-government officials. To date, Boston University has delivered four courses for chief information officers (two in Saudi Arabia and one each in Brunei Darussalam and Qatar). There are discussions in place now to offer a similar course in Bahrain.

41. The Caribbean Regional e-Government Strategy, developed by the Caribbean Centre for Development Administration in cooperation with the Division, has been approved by the Caribbean Heads of State. The Division will continue to work with all the stakeholders to strengthen cooperation for e-government development in the Caribbean region.

42. The Division collaborated with the New York University Wagner School of Public Service in a research project on citizen engagement for the oversight work of the parliaments of Ghana, India and South Africa. The research aims to explore how committees of parliament utilize formal mechanisms of civil engagement to monitor public service delivery and strengthen accountability on public spending.

43. The Division and the International Association of Schools and Institutes of Administration have been working together as an international task force on the theme "Strengthening public administration at local level for the achievement of the development agendas". Both organizations are carrying out regional research on the status of public administration in local government. The report on this research will be presented and discussed during the Commonwealth Local Governments Forum, to be held in Uganda in 2013, and again at the International Association of Schools and Institutes of Administration conference, including an input from the Forum.

United Nations Public Service Awards and Public Service Day

44. By its resolution 57/277, the General Assembly designated 23 June as the United Nations Public Service Day to celebrate the value and virtue of service to the community. In 2000, the Economic and Social Council established the United Nations Public Service Awards programme to promote better delivery of services by Governments (see www.unpan.org/unpsa). It is the most prestigious international recognition of excellence in public service. Through an annual competition, it rewards the creative achievements and contributions of public service institutions with respect to promoting a more effective and responsive public administration in countries worldwide. The United Nations Public Service Awards programme celebrated its tenth anniversary in 2012.

45. The 2012 United Nations Public Service Awards ceremony and forum on the theme "Innovation and citizen engagement for effective governance" was organized

by the Division, in partnership with UN-Women and the United Nations Office on Drugs and Crime. The ceremony and forum took place at United Nations Headquarters from 25 to 27 June 2012.

46. As part of the United Nations Public Service Awards ceremony, countries that performed well in the 2012 United Nations e-Government Survey rankings were also recognized. The United Nations e-Government Survey Special Award is based on findings from the 2012 Survey, and acknowledges recipients for: (a) establishing robust telecommunications infrastructure; (b) investing in the development of human capital and the usage of e-government facilities; (c) providing exceptional e-services; (d) and making e-content available on a continuous basis.

47. Nominations for the United Nations Public Service Awards increased by 58 per cent from 2011 to 2012, with more than 100 per cent growth since 2000. The participation of the Member States has also increased from 57 in 2011 to 73 in 2012, including 16 countries participating for the first time, almost doubling the participation rate from 2008.

48. At the United Nations Public Service Awards ministerial round table, citizen-centric governments, the potential of e-government to enhance the service delivery, the need to institutionalize gender-responsive delivery, the localization of public priorities and the need to improve public sector human resource capacity development to prevent corruption were highlighted as priority areas during the discussion.

49. Three capacity-building workshops were organized by the Division during the United Nations Public Service Awards on the following themes: (a) "Institutions and leadership capacities to engage citizens in service delivery"; (b) "Preventing corruption in public administration: citizen engagement for improved transparency and accountability"; and (c) "e-Government: from policy to practice".

50. In addition, the Division organized, together with UN-Women, a capacity-building workshop entitled "The dividends of women in the frontline of service delivery", with the aim of fostering greater understanding of the key factors for the success in promoting an effective, transparent, accountable, participatory and citizen-centric public administration through the discussion of key recommendations and policy options.

51. In total, 49 winners from Australia, Bahrain, Bosnia and Herzegovina, Brazil, Canada, the Dominican Republic, Egypt, Georgia, Grenada, India, Kenya, Lebanon, Malaysia, Mauritius, Mexico, Morocco, Oman, the Republic of Korea, Rwanda, Senegal, Singapore, Slovenia, South Africa, Spain, Switzerland, Thailand, Turkey, the United Arab Emirates and the United States of America received the awards. The event resulted in a better understanding of how government leadership can be more effective in pursuing the Millennium Development Goals, and in increased knowledge of innovative solutions to complex governance challenges.

Governance and institution-building cluster of the Executive Committee on Economic and Social Affairs

52. In 2012, the Division continued its action aimed at promoting collaboration among relevant United Nations entities as the lead focal point of the governance and institution-building cluster of the Executive Committee on Economic and Social Affairs. Cluster members have a shared commitment in strengthening governance

and institution-building, with the aim of assisting countries to formulate and implement public policies that ensure sustainability and local ownership for the achievement of the internationally agreed development agenda, including the Millennium Development Goals.

53. The cooperation among the cluster members includes the following:

(a) Knowledge-sharing through the United Nations Public Administration Network, including the interactive platform Public Administration Connect, for a community of civil servants and international development practitioners who are interested in public administration and development issues and approaches (Department of Economic and Social Affairs, ECLAC, ESCWA, Economic and Social Commission for Asia and the Pacific (ESCAP), Economic Commission for Europe (ECE) and United Nations University (UNU));

(b) Development and launch of an online course on strategic intelligence that was authored by Professor Jay Liebowitz, Orkand Endowed Chair in Management and Technology of the Graduate School of Management and Technology, University of Maryland University College, in collaboration with the Department of Economic and Social Affairs;

(c) Conducting training courses developed by the Department of Economic and Social Affairs on e-government (Department of Economic and Social Affairs, United Nations Institute for Training and Research), and rebuilding of public administration in post-conflict countries (Department of Economic and Social Affairs, United Nations Project Office on Governance);

(d) E-government development in the Asia-Pacific region through the building of a knowledge base (Department of Economic and Social Affairs, ESCAP, UNU);

(e) A capacity-development workshop on the theme "Citizen engagement and the post-2015 development agenda", in Beirut (Department of Economic and Social Affairs, ESCWA);

(f) Implementation of three action lines of the Tunis Agenda (World Summit on the Information Society): action lines C1, C7 on e-government, and C11 (Department of Economic and Social Affairs, United Nations Conference on Trade and Development, United Nations Educational, Scientific and Cultural Organization, ITU);

(g) Capacity development through projects such as the improvement of human resources management in the public sector in the Africa region and other country-specific projects in Chad, Djibouti, Mauritania, Mozambique and Togo (Department of Economic and Social Affairs, ECA, UNDP);

(h) Collaboration on the establishment and evaluation of a new category under the umbrella of the United Nations Public Service Awards, on promoting gender-responsive delivery of public services (Department of Economic and Social Affairs, UN-Women);

(i) Collaboration on the establishment and evaluation of a new category under the umbrella of the United Nations Public Service Awards, on preventing and combating corruption in the public service (Department of Economic and Social Affairs, United Nations Office on Drugs and Crime);

(j) A workshop on engaging citizens to enhance public service delivery and strengthening accountability, in cooperation with the United Nations Office on Drugs and Crime, to enhance participants' capacities for the analysis, design, implementation and evaluation of citizens' engagement processes for improved efficiency and accountability in public service delivery within the framework of the United Nations Convention against Corruption.

Facilitation of World Summit on the Information Society action lines C1, C7 on e-government and C11

54. The Department of Economic and Social Affairs, as the leading facilitator for action lines C1, C7 on e-government, and C11, the newly elected Vice-Chair of the United Nations Group on the Information Society, and the administrator of the Internet Governance Forum focused its efforts through the Division to ensure the comprehensive exchange of views, information and experiences to promote policy dialogue and advocacy for the implementation of the World Summit on the Information Society outcomes, by a variety of United Nations bodies, governmental and non-governmental stakeholders and partners through a number of modalities and initiatives.

Action line C1: the role of public governance authorities and all stakeholders in the promotion of information and communications technologies for development

55. The seventh facilitation meeting of action line C1 was held within the World Summit on the Information Society Forum 2012, as a joint meeting with action line C7, on e-government, and C11, on international and regional cooperation. The facilitation meeting served as an enabling platform of World Summit on the Information Society outcomes, for international and multidisciplinary stakeholders including public officials, academia, civil society and private sector stakeholders group of experts and national practitioners, to share their experiences and exchange practices, including the area of e-government.

56. A workshop on the theme "Future government: a global perspective in connection to open government data and citizen engagement" was organized by the Department of Economic and Social Affairs through the Division, in cooperation with ITU, in Geneva on 16 and 17 May 2012, during the 2012 World Summit on the Information Society Forum. The workshop sessions comprehensively covered the main global trends, policies, strategies, action plans and case studies on open government data for greater transparency and citizen engagement to promote effectiveness, efficiency and accountability in public management and to contribute to the implementation of the World Summit on the Information Society outcomes and the Millennium Development Goals at the international, regional and national levels.

Action line C7: e-government

57. In 2012, more than 15 advisory and technical missions were undertaken in 11 countries. The missions were initiated and took place to support Governments in implementing their respective e-strategies that dealt with e-content, citizen-engagement, online services, e-participation, infrastructure development, e-government policies and guidelines, thus bridging the digital divide and institutional frameworks in the following countries: Bahrain, Brunei Darussalam,

Chad, Costa Rica, Ethiopia, Haiti, Morocco, Qatar, the Republic of Korea, Saudi Arabia and the United Arab Emirates. These advisory missions contributed to empowering the Member States to strengthen their respective strategies, policies, content development, citizen engagement, a better understanding of e-government, and the use of social networking tools, while building their capacities at the national and regional levels.

Action line C11: international and regional cooperation

Internet Governance Forum

58. In 2012, the Division continued to support the secretariat of the Internet Governance Forum to assist the multi-stakeholder community comprising experts and practitioners of Internet governance from Governments, the private sector, civil society and technical and academic groups, in analysing the challenges of Internet governance. The seventh annual meeting of the Internet Governance Forum was held in Baku, from 6 to 9 November 2012. Two open consultations and multi-stakeholder advisory group meetings were held to set the agenda and themes of the Baku meeting as well as continuous online interactions. The main theme for the meeting was "Internet governance for sustainable human, economic and social development". More than 1,600 delegates representing 128 different countries attended the forum, with over 3,600 unique remote visitors from 52 remote communication hubs. Workshops, best practice forums, dynamic coalition meetings and an open forum allowed participants to delve into both complicated and oftentimes controversial issues in an open and inclusive manner. The topics addressed ranged from issues related to cybersecurity and child protection online, the rise of social networks, the use of "big data" and various aspects of human rights as they relate to the Internet, among many others.

International Association of Supreme Auditing Institutions

59. The Division has been consulted by International Association of Supreme Auditing Institutions on the preparations for the twenty-second United Nations/International Association of Supreme Auditing Institutions Symposium, to be held in Vienna, from 5 to 7 March 2013, on the theme "Audit and counselling by supreme audit institutions: risks and opportunities, as well as possibilities for engaging citizens". In addition, the Under-Secretary-General for Economic and Social Affairs participated in the sixty-third meeting of the Governing Board of the Association in November 2012. He addressed how the collaboration between the United Nations and the Association could be revitalized to better serve the needs of the Member States, including involving citizens for greater public accountability.

E. Advisory services

60. The Division carries out technical cooperation activities in the form of advisory services and training activities on subjects falling within the mandate of the Division through its three branches. In 2012, the Division implemented a spectrum of advisory services in the field, especially in the areas of professionalism and management of human resources in the public sector (Benin, Morocco and Togo), e-government capacity development to devise policies, strategies, solutions and services (Bahrain, Brunei Darussalam, Haiti, Qatar, Saudi Arabia, and the

United Arab Emirates), citizen engagement including e-participation (Chad), and the use of ICTs to strengthen the parliamentary institutions particularly among African and Latin American countries. The Division provided 23 advisory services in 15 countries in 2012 (Bahrain, Benin, Brunei Darussalam, Chad, Costa Rica, Haiti, Morocco, Qatar, Rwanda, Saudi Arabia, Senegal, Togo, United Arab Emirates, United Republic of Tanzania, United States of America). It should be noted that the findings and recommendations of advisory missions and the outcomes of training activities, including their publications, feed into the normative and advocacy work of the Division and provide support to the intergovernmental dialogue of the Economic and Social Council and the Committee of Experts in Public Administration.

61. The budget of technical cooperation projects comes from the United Nations Regular Programme for Technical Cooperation, the United Nations Development Account, extrabudgetary sources such as UNDP and UNDP-administered funds, and numerous funds in trust, with contributions from donor countries, host Governments and other entities.

United Nations Project Office on Governance

62. The Division and the United Nations Project Office on Governance jointly organized a global forum on e-government, entitled "Smart e-government for a better future", in collaboration with the Ministry of Public Administration and Security and the Ministry of Knowledge Economy of the Republic of Korea in October 2012. The objectives of the workshop were to (a) increase knowledge of recent trends and challenges, and sharing of best practices and tools in e-government; (b) promote the role of the Office in promoting e-government in the Asia-Pacific region; (c) increase awareness of the United Nations regional commissions' aid strategies for e-government assistance in their respective regions; (d) raise awareness and promote the global network of chief information offices as a vehicle for sharing country experiences and developing intergovernmental and cross-sectoral cooperation mechanisms in designing and implementing ICT-enabled public services; and (e) adopt the Seoul Communiqué as a guide for requisite follow-up measures to enhance global e-government cooperation among the States Members of the United Nations.

63. In addition, the United Nations Project Office on Governance convened an expert group meeting on the role of e-government in promoting gender equality in the Asia-Pacific region, in Seoul in February 2012; a workshop on the theme "Leadership capacity development for improved delivery of public services in Africa using ICT", in Addis Ababa in July 2012; and a workshop on e-government development for officials of the Government of Afghanistan, held in Kazakhstan in December 2012. The Office also undertook an advisory mission to Almaty in August 2012 to assist the Government in elaborating a draft plan for "Information Kazakhstan 2020".

Global Centre for Information and Communications Technology in Parliament

64. In 2012, the Department of Economic and Social Affairs and the IPU continued to cooperate through the jointly established Global Centre for ICT in Parliament to strengthen the role of parliaments in advancing the Information

Society and to encourage the use of ICT in legislatures to promote transparency, openness and accountability.

65. In cooperation with International Federation of Library Associations and Institutions, the Centre organized training for librarians of Arab parliaments on the strategic management of ICTs in libraries. At a meeting hosted in August by the Parliament of Finland, the Handbook *Information and Communications Technology in Parliamentary Libraries* was officially launched. Several other publications, focusing on core areas of parliamentary work, were prepared during 2012 to provide guidance and references to parliaments on the application of ICTs: the Handbook *Technology Options for Capturing and Reporting Parliamentary Proceedings*, the Manual *Information and Communications Technology Strategic Planning in Parliament* and, with the leadership of IPU and the Association of Secretaries General of Parliaments, the *Social Media Guidelines for Parliaments*.

66. The Centre conducted 20 advisory missions in 2012 to different parliaments of the Caribbean and the Southern African Development Community to support ICT strategic planning exercises.

67. The Centre published the third edition of the *World e-Parliament Report 2012*,[1] which documents the efforts of legislatures to use ICT to support their constitutional functions. The findings of the *Report* are based on data received from 177 legislatures representing 126 countries that responded to the Global Survey on ICT in Parliament. The *Report* was launched at the World e-Parliament Conference 2012, hosted by the Chamber of Deputies of Italy in Rome, where almost 500 delegates from 120 parliamentary delegations exchanged views and practices on several policy and technical aspects related to openness and transparency through ICT. The high-level Board of the Centre met on this occasion and underlined in its final statement the key role played by the Centre within the parliamentary community.

68. The Centre coordinated its work with the activities of the Africa i-Parliaments Action Plan, the regional Division-led initiative that supports the development of high-quality and sustainable parliamentary information systems with the aim of fostering transparency and accountability, and supports democratic participation in African parliaments.

Support for the implementation of Africa i-Parliaments Action Plan

69. Two initiatives developed under the Africa i-Parliaments Action Plan include the Bungeni Parliamentary and Legislative Information System, an open source suite of applications for the drafting, managing, consolidating and publishing of legislative and other parliamentary documents; and the Akoma Ntoso, an Extensible Markup Language (XML) standard for parliamentary, legislative and judiciary documents. Another initiative involved the establishment and subsequent implementation of capacity-building activities of the Africa Parliamentary Knowledge Network.

[1] United Nations publication, Sales No. E.12.II.H.5.

III. Proposed activities for 2012-2013

70. During the biennium 2012-2013, the following final outputs will be delivered:

(a) Servicing of intergovernmental and expert bodies:

(i) General Assembly:

a. Substantive servicing of meetings: General Assembly (6);

b. Parliamentary documentation: reports mandated by the resolutions of the sixty-seventh and sixty-eighth sessions of the General Assembly on public administration and development or related issues such as Internet governance and enhanced cooperation on public policies related to the Internet (through Economic and Social Council) (2);

(ii) Economic and Social Council:

a. Substantive servicing of meetings: Economic and Social Council (14);

b. Parliamentary documentation: reports on the eleventh and twelfth meetings of the Committee of Experts on Public Administration (2);

(iii) Committee of Experts on Public Administration:

a. Substantive servicing of meetings: eleventh and twelfth sessions of the Committee of Experts (8);

b. Parliamentary documentation: agenda and organization of work (2); analytical/working papers on selected issues (2); report on the programme in public administration, finance and development (2);

(iv) Ad hoc expert groups: country studies on public administration capacity and human resource development; e-government, including mobile government and knowledge management in government; development management, with particular emphasis on citizen engagement and the use of ICT; assessment and evaluation of a toolkit on reconstructing public administration after conflict; assessment and evaluation of the Measurement and Evaluation Tool for e-government Readiness (METER); assessment and evaluation of a toolkit on crisis management through citizen engagement;

(b) Other substantive activities:

(i) Recurrent publications: United Nations e-Government Survey; public sector analytical report on emerging issues; United Nations Public Service Awards report (2); compendium of best practices and innovation in public administration (2); compendium of innovative e-government practices; compendium of ICT applications for e-government;

(ii) Non-recurrent publications: country studies on public administration capacity and human resource development; e-government, including mobile government, e-governance and knowledge management in government; development management, with particular emphasis on citizen engagement and the use of ICT; assessment and evaluation of a toolkit on reconstructing public administration after conflict; assessment and evaluation of METER;

assessment and evaluation of a toolkit on crisis-management through citizen engagement;

(iii) Special events: support to regional ministerial meetings on emerging trends in the public sector, including collaboration with the regional commissions and United Nations system agencies (2); provision of substantive and administrative support for the United Nations Public Service Awards to facilitate the evaluation process, which is a year-round process (2); provision of substantive and organizational support for the observance of United Nations Public Service Day (2);

(iv) Substantive servicing of inter-agency meetings: support to global and regional technical meetings organized by partner institutions (8);

(v) Technical material (regular budget and extrabudgetary): United Nations Publication Administration Network (online portal); United Nations public administration country studies (previously known as public administration country profiles) (online portal); United Nations newsletter (online portal) (8); governance world watch (online portal) (24); United Nations global e-government readiness knowledge base (online database); global governance inventory (online database); ethics, transparency and accountability (website); global alliance for information and communications technology and development (website); Internet governance forum (website); online database on economic and social councils; United Nations Public Service Awards past initiatives (online database); Global Centre for ICT in Parliament (website); United Nations Project Office on Governance (website); knowledge base of innovative e-government practices (online database); knowledge base of ICT applications for public service (online database); United Nations Programme in Public Administration and Development (website);

(vi) Audio-visual resources: online training courses (4);

(c) Technical cooperation:

(i) Advisory services: needs assessment and diagnostic missions related to the substantive expertise of the subprogramme in the areas of public administration and finance and socioeconomic governance (30); guidelines, manuals and training materials for application to the public sector resulting from requests for training assistance from developing countries and countries with economies in transition (4); training seminars, workshops and policy dialogues at the request of developing countries and countries with economies in transition in the areas of public policy and public economics, public administration, finance and socioeconomic governance, with particular emphasis on initiatives fostering South-South cooperation and innovation in public administration (8);

(ii) Field projects (some in partnership with UNDP and other operational entities) aimed at strengthening the institutional and management capacity of interested developing countries and countries with economies in transition in the areas of public administration and finance and socioeconomic governance (30).